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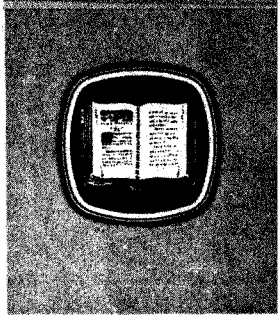
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University of Illinois Graduate School of Library Science

# OCCASIONAL PAPERS

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## THE FARMINGTON PLAN SURVEY: A SUMMARY OF THE SEPARATE STUDIES OF 1957-1961

By  
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## FOREWORD

The complete report of the Farmington Plan survey was a mimeographed compilation issued by the Association of Research Libraries (ARL) to serve only as a working document for the ARL's midwinter annual meeting in Chicago on January 26, 1959. Subsequently, in answer to several requests, this rather large report was microfilmed and positive prints may be purchased from the University of Kansas Library, Lawrence, Kansas. The full report includes the following material:

Vosper, Robert, and Talmadge, Robert L. Farmington Plan Survey . . . Final Report. [1959]. (Duplicated.)

### Contents:

"Preface." Pp. 5.

Talmadge, Robert L. "The Farmington Plan Survey: An Interim Report." Pp. 11.

"Report on the Questionnaire." Pp. 12.

Thompson, Lawrence S. "Subject Specialization in German Research Libraries." Pp. 10.

Buckman, Thomas R. "Cooperative Acquisition of Library Materials in Scandinavia." Pp. 19.

"A Random Sample of All Farmington Plan Receipts." Pp. 9.

"Citations in Two French Economics Journals Compared with Farmington Plan Receipts." Pp. 6.

"Books in Physics." Pp. 4.

"Scandinavian Collections at Minnesota." Pp. 6.

"Farmington Plan Delivery of Spanish Literature." Pp. 3.

"Farmington Plan Materials Included in the List of Unlocated Research Books." Pp. 7.

Carnovsky, Leon. "Recent Investigations of American Library Holdings of Current Foreign Publications." Pp. 12.

Henkle, Herman H. "Exploration of the Place of Periodicals in the Farmington Plan." Pp. 3.

Jolly, David. "Northwestern University's African Program." Pp. 11.

"Summary Statement of the African Procurement Program of the Library of Congress." Pp. 2.

Cline, Howard F. "Latin America and the Farmington Plan: A Working Draft, with Recommendations." Pp. 58.

Mostecky, Vaclav. "A Farmington Plan for East European Materials: Problems, Issues, Possibilities." Pp. 17.

Association for Asian Studies Committee on American Library Resources on the Far East.

"Proposal for the Extension of the Farmington Plan to the Far East." Pp. 9.

National Committee on American Library Resources on Southern Asia. "Farmington Plan Proposals for Southeast Asia Countries." Pp. 10.

Wilder, David. "The Acquisition and Control of Publications from the Middle East." Pp. 23.

"LC Activities under Public Law 480." Pp. 3.

Vosper, Robert. "The Farmington Plan, 1948-1958: A Critique, with an Eye to the Future." Pp. 44.

Vosper, Robert, and Talmadge, Robert. Farmington Plan Survey—The Financial Problem: Some Tentative Information. [1959]. (Duplicated.) Pp. 7.

Kurth, William H. The Acquisition of Research Materials from South America: A Preliminary Report. [1959]. (Duplicated.) Pp. 13.

The following supplementary reports were issued as internal documents for the Association of Research Libraries:

Orne, Jerrold. Report on the CIA Library Acquisitions Program, 1959. Pp. 16. (Duplicated.)



Barker, Dale L. Foreign Social Science Periodicals Received in American Libraries: A Study for the Farmington Plan, 1960. Pp. 17. (Duplicated.)

Wisdom, Donald F. Foreign Government Publications in American Research Libraries, 1961. Pp. 18. (Duplicated.)

The complete survey was discussed succinctly by Edwin E. Williams in his 1961 version of the Farmington Plan Handbook.<sup>1</sup> He proceeded not on the basis of an abstract of the full document, but rather by way of a reproduction of the subsequent resolutions, together with shrewd comment on them.

Continued widespread interest in the survey and its implications has suggested the need for a readily available report somewhat fuller than the Williams' resumé but less bulky than the original documents. This abridgment is an attempt to answer that need. The six most influential analyses of Farmington receipts are included virtually as originally issued because there has been much interest in the methodology as well as the results. The several working papers dealing with areas outside western Europe are important and basic documents, and they too have been influential. For example, already the Latin American and African programs have been brought into activity. And the Middle Eastern and South Asian programs have been shaped by the recent and promising federal developments under Public Law 480. However, in the interest of producing a publishable monograph, the several area working papers have been greatly abridged and with some trepidation.

UCLA, 1964.

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1. Williams, Edwin E. Farmington Plan Handbook; Revised to 1961 and Abridged. Cambridge, Harvard University Printing Office, 1961. (Distributed by the Association of Research Libraries.)

## INTRODUCTION

### A Brief History of the Farmington Plan

Although the actual experience of United States research libraries with a nationally coordinated procurement effort is extremely brief, the need for such an effort had been foreseen by many librarians.<sup>1</sup>

The disconcerting circumstances during and immediately following the second world war remarkably demonstrated and brought this need into focus. A sharply increased interest in European books and journals, for the needs of both university research and governmental information, met with frustration when United States libraries were cut off from the European book market and from European libraries. It was clear then that the pre-war procurement effort had been inadequate to the national scholarly need. Discussions initiated by the Librarian of Congress in October 1942 at Farmington, Connecticut, defined the goal which, now twenty years later, the libraries of the country are still trying to attain.

From 1942 to 1947, the Association of Research Libraries (ARL) was the forum for intensive exploratory discussions that have been reported by Edwin E. Williams in his first edition of the Farmington Plan Handbook.<sup>2</sup> That Handbook in its two editions (the second edition<sup>3</sup> omits the historical background covered in the first edition but brings the analysis and bibliography of the subject up-to-date) and the informational series of Farmington Plan Letters (no. 1, Cambridge, Mass., 1949—), also edited by Williams,<sup>4</sup> provide the most concise documentation of the inception, intentions, and operation of the Farmington Plan.

The practicability of a nationally coordinated effort was demonstrated dramatically by the Library of Congress Post-War Mission to Europe,<sup>5</sup> a crash program under which a variety of libraries joined efforts to obtain copies of European books that had been missed by U.S. libraries during the war years. As a result of the momentum of this major retrospective effort, the ARL, in a special session in March 1947, launched the Farmington Plan (with coverage of 1948 publications). The basic objective of the Plan was “. . . to make sure that at least one copy of each new foreign book and pamphlet that might reasonably be expected to interest a research worker in the United States will be acquired by an American library, promptly listed in the Union Catalogue at the Library of Congress, and made available by interlibrary loan or photographic reproduction.”<sup>6</sup>

The objective has by no means been fully realized. Perhaps it never will be realized, but the important considerations are that on a purely voluntary basis, and in the face of impressive difficulties, American research librarians have continued to work ever more closely toward the goal of a rationalized, coordinated procurement effort to serve the needs of the national community of scholarship and research; that in so doing each participating library, to one degree or another, has taken on responsibilities and expenses somewhat beyond those related directly to the needs of its own immediate

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1. Richardson, Ernest C., comp. General Library Co-operation and American Research Books: Collected Papers. Yardley, Pa., F. S. Cook & Sons, Inc., 1930.

2. Williams, Edwin E. Farmington Plan Handbook. Cambridge, Harvard University Printing Office, 1953. (Distributed by the Association of Research Libraries.)

3. \_\_\_\_\_. Farmington Plan Handbook. Rev. to 1961 and abridged. Cambridge, Harvard University Printing Office, 1961. (Distributed by the Association of Research Libraries.)

4. With the eighteenth issue of November 1963, Edwin E. Williams was succeeded as editor of what is now entitled the Farmington Plan Newsletter by Lloyd Griffin, and the scope of the publication was expanded.

5. Downs, Robert B. “Wartime Co-operative Acquisitions,” Library Quarterly, 19:157-165, July 1949.

6. Williams, (1953), op. cit., p. 3.

clientele; and that librarians on their own initiative have devised, fostered, and administered the program.

The Association of Research Libraries, which has administered the Farmington Plan, is a voluntary organization of the nation's most eminent research libraries. While most of these are university libraries, three major federal libraries, two large municipal libraries, and a few privately endowed "special" libraries are involved. Although the ARL administers the Farmington Plan, not every ARL member participates in the Plan, and several non-ARL libraries do participate. Until 1963 the ARL itself operated with no secretariat but rather solely through the voluntary efforts of its membership representatives. Furthermore, until the initiation of activities under Public Law 480, the participating institutions themselves had borne the entire costs of Farmington Plan procurement and cataloging, except that two private foundations, the Carnegie Corporation and the Council on Library Resources, made small grants to the ARL to cover certain initial and exploratory costs.

The initial effort in 1947 was focused on western Europe because, in general, American scholarship has been based upon the European tradition, with only scant and scattered attention to other cultural areas. Moreover, it was the shortage of European books and the effect of the war in Europe that had precipitated the Plan itself. This European beginning and the wartime experience, then, had a decided effect on the operation and development of the Farmington Plan during its first decade.

Drawing on the experience of the Library of Congress Post-War Mission to Europe, the framers of the Plan decided to allocate Farmington receipts to a large number of United States libraries, using the Library of Congress classification system as a basis for dividing responsibility. This had been the pattern of the Mission. Secondly, it was decided to use assigned book-dealers in the several European countries as agents for both selection and distribution. This step was necessary because the war years had interrupted European national and trade bibliography and had altered trade patterns with American libraries. The libraries, therefore, were eager to find or rediscover European dealers who could bridge the bibliographical gap.

These complicated Farmington arrangements, which eventually involved some sixty United States libraries, which covered all fields of knowledge, and which rested upon contractual arrangement with local book dealers in the several west European countries, required a great expenditure of time, energy, and imagination. In final analysis, the complication of the west European operation arrested the realization of the world-wide concept of the Farmington Plan. Although a few attempts to operate outside Europe were made, they were not generally successful. Part of the difficulty in extending operation lay in the fact that a dealer-centered selection program can operate effectively only in an area such as western Europe, which has a strong book trade tradition and long-standing experience with American libraries. In Latin America, a few early attempts were made to vary the pattern by use of so-called "area assignments," whereby a particular American library would undertake responsibility for acquiring from a particular country or group of small countries, by whatever means it could devise, all current publications in all subject fields. But this procedure did not extend widely.

Unfortunately, a widespread misconception arose. Many people believed that the Farmington Plan was concerned seriously with only western Europe and that it was committed to the dealer-centered, subject allocation procedures that prevailed there. This semantic misunderstanding, then, in circular fashion, probably hindered extension of the Farmington Plan.

Thus over the years there arose dissatisfaction with the limited geographical scope of the Plan. In addition, there were complaints of one kind or another about the operations in western Europe as well as basic doubts about the effectiveness of, and the very need for, the Plan itself. This kind of question was the more pressing in the mid-1950's because by then book trade relationships with United States libraries were again in full flower, and west European bibliography was in good shape. These conditions led many librarians to suggest that on their own initiative United States libraries could do a more effective, more precise selection and procurement job than the dealer-agents. The selection by dealers was felt by some librarians to be incomplete and by some to be too inclusive of marginal or sub-scholarly publications.

It should be noted here that the Farmington Plan had never been conceived of as a device for securing those standard books that are obviously of first-line importance to scholarship; those books are readily ascertainable and can be secured with little difficulty. The intention of the Farmington Plan is to assure coverage of all publications that might "conceivably" be of value to research, including the

secondary, peripheral, and often ephemeral publications that do not appear in the normal trade and which bolster any intensive scholarship. At this point definitions are necessarily imprecise and perhaps no two scholars or librarians will agree in detail.

### The Need for a Survey

At the January 1957 meeting of the Association of Research Libraries, it was suggested during an extensive discussion of the various problems inherent in the Farmington Plan that a detailed re-appraisal might be in order. It was thereupon voted that "... the Farmington Plan committee, in the light of its ten years of experience, reexamine the purposes, scope and results of the Farmington Plan and report to ARL."<sup>7</sup>

Committee Chairman Robert B. Downs asked Robert Vosper and Robert Talmadge to undertake the survey, and the Council on Library Resources, Inc., provided funds to implement its beginning in October 1957. The initial decision was to proceed by addressing a preliminary questionnaire to all participating libraries, by visiting a selected group of the libraries, by making analytical studies of Farmington Plan receipts in comparison with national bibliographies and other measuring sticks, and, eventually, by having a national conference for full-scale discussion of the reports.

As the questionnaires were being reviewed, it became apparent that the survey must not be limited to a reassessment of the procurement effort in the countries formally covered by Farmington Plan operations during the initial ten-year period. It seemed essential to consider broadly the procurement by American libraries of books currently published in all parts of the world, whereas the Farmington Plan during its first decade had not been able to proceed very far afield from western Europe. This consideration led to a series of assigned working papers dealing with procurement problems and possibilities in other parts of the world where the Farmington Plan effort was inoperative or incomplete.

The questionnaire<sup>8</sup> elicited opinions rather than facts. Participants were asked about their general level of satisfaction with the conception and operation of the Plan—its scope in terms of materials sought and geographical areas covered, its procurement procedures, its system of classification and assignment of books received, the administration of the Plan, the costs incurred by recipient libraries, the cataloging pattern, and the usefulness of the materials received.

The replies were mostly mild in tone, with few expressions of strong doubt about the Plan or of dissatisfaction with its operation. As a matter of fact, the great majority of the replies were distinctly favorable. Virtually all of them reflected agreement with the way the Plan was set up and a patient tolerance toward problems. None thought the Plan perfect, to be sure, but few seemed to favor any major changes, except for some extension of geographical coverage, especially to Japan, Russia, and other Iron Curtain countries.

During subsequent visits to several of the participating libraries, discussions with library staffs and faculties centered not so much on the Plan itself as on the whole question of foreign acquisitions. What foreign materials did the libraries want in their collections? How did they set about selecting and acquiring them? Was there a clear difference between the national interest and the local interest of a particular library in terms of the level of foreign procurement? Were certain libraries independently doing a more satisfactory job of selecting and procuring foreign books in a particular foreign country than the Farmington Plan operation?

The general appearance of current book selection procedures in university libraries, large and small, did not inspire great confidence in the minds of the surveyors. In most cases it appeared to be a harried and intermittent task, based predominantly on faculty recommendations that were in fact little-coordinated and seldom monitored.

At the time of the survey there were only a few persons on the staffs of these libraries who were assigned to select books for acquisition, and often there was but one brilliant polymath. Occasionally,

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7. Association of Research Libraries. Minutes of the Forty-Eighth Meeting of The Association of Research Libraries, January 28, 1957. Chicago, p. 11.

8. The questionnaire, as included in the final report of the survey with a tabulation and brief analysis of responses, appears as an appendix to this monograph.

other library staff members made recommendations for purchases as a part-time aspect of some other regular and demanding assignment. The best efforts generally came in fields with highly specialized subject libraries when there was an experienced librarian in charge, but this seldom occurred in the broad and bookish areas of the humanities and social sciences. The detailed checking of national bibliographies, by subject fields, was quite uncommon in university libraries, although this detailed checking was a procedure regularly used in several well-stocked non-university research libraries. Among faculty book selectors the national bibliography is almost unknown, and book selection by faculty members seemed seldom to be consistent, or to constitute thorough and regular coverage of currently published books as a method of steady library development.<sup>9</sup> In the years since the survey, however, there has been a marked change in favor of book selection by specialist library bibliographers in university libraries.

A related question was that of the "blanket order" procedure for selection and procurement. Both the Library of Congress and the New York Public Library for several years had regularly used this method to a considerable extent for current foreign acquisitions. The stipulations are quite precise and are subject to change on the basis of a careful monitoring of the intake. Very few university libraries, however, retained the blanket order pattern for any length of time after the close of the second European war. In the face of the disorganized European book market and bibliography and in the light of the early success of the Library of Congress Post-War Mission to Europe, a number of American libraries had instituted blanket orders soon after the war as a means of rapidly picking up the slack period, but this pattern was soon abandoned when the book trade returned to a more normal pattern.

It will be recalled that the Farmington Plan as an operative fact stemmed in large part from the experiences of the Library of Congress Post-War Mission to Europe and the exigencies of the war-time and immediate post-war years. Thus it is understandable that the Farmington Plan concentrated on the familiar west European book market and developed in fact as a gigantic and complex blanket order, using book dealers for selection as well as procurement and distribution agents, on a fairly automatic basis.

The immediate consequence was a limitation on the freedom of the individual library to select its books and its book agents. During the visits to libraries under the survey, it was apparent that some librarians considered this process thwarting and believed that local intelligence and initiative could effect better results. These librarians were skeptical that the Farmington Plan's dealer-centered procedures had been adequately discriminating. But a somewhat larger group of librarians recognized a lack of staff adequate for a consistent, detailed selection program comparable to the program of the Farmington Plan. The automatic procedure of the Plan offered them a reasonably successful and economical answer to a difficult task.

It was clear from the survey discussions that, wherever the basis for selection might lie, there would always be differences of opinion among librarians and among scholars as to which books or which categories of books may be of potential "research value" or "scholarly utility." One department of literary studies requires the works of minor authors, and another scorns them. Highly localized guide books and histories may be superfluous for one kind of historical study and essential to another. Obviously, though, any procurement program with a national scholarly interest in mind must recognize and serve diverse points of view. In science and technology there did appear to be fairly common agreement that the Plan had acquired too low a level of popular treatises and practical handbooks. This kind of criticism, however, and the criticism that from a particular country the coverage seemed to have been far too indiscriminating, implied not so much a basic error in the system as it did the need for more strict specifications.

The visits to libraries, then, revealed more fundamental uncertainty about the Farmington Plan, especially as it had proceeded in western Europe through dealer-centered blanket selection, than the earlier questionnaire had indicated. Many librarians were of the opinion that the revival of the book trade and of national bibliography in western Europe had rendered the Farmington Plan obsolete for

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9. Ruggles, Melville J., and Mostecky, Vaclav. Russian and East European Publications in the Libraries of the United States. New York, Columbia University Press, 1960, pp. 17 ff; and Danton, J. P. Book Selection and Collections; a Comparison of German and American University Libraries. New York, Columbia University Press, 1963.

that part of the world. The argument was that in a normal trade situation regular ordering procedures were adequate to the national need. This kind of uncertainty about the Plan urged detailed studies of Farmington receipts from western Europe. Yet these general discussions also emphasized a more pressing sense of concern and confusion about procurement from other parts of the world where indeed the book trade and national bibliography were still less satisfactory than they had been in Europe immediately after the war.

The Farmington effort had begun in western Europe, using a procurement procedure dependent on experienced and efficient book dealers, and the organizational effort was very demanding. As a result, during the initial decade there was little time or effort available for attention to other parts of the world. Beginning steps had been taken in Latin America, Africa, and elsewhere, based on the assignment of responsibility to a particular library for total procurement from a particular country or region, the so-called "area assignments." However, these had been slow to develop because the acquisitions problems were complex, because a sense of national need had not fully been assayed, and because a basically semantic confusion about the intention of the Farmington Plan developed.

### The Semantic Problem

This semantic problem arose from the fact that the Farmington Plan had started in western Europe and had given most of its effort there. Thus too easily it had become identified in many minds with the particular procedural pattern with which it began—namely a subject-divisional pattern using assigned foreign dealers as selection agents. Therefore, people who had been dissatisfied with that procedure tended to condemn the Farmington Plan in its entirety. Many librarians, in immediate reflex, felt that the Plan should be abandoned or that it should not be responsible for cooperative procurement efforts in other parts of the world, and that some other plan or agency should be installed. In reacting thus, they were thinking of certain operating problems, not of the basic intentions of the Farmington Plan.

The plain fact is that the Farmington Plan is not merely a means of acquisition or distribution. It is not necessarily tied to selection by assigned dealers. It is not irreconcilably bound up with an inflexible procurement and distribution pattern. The Farmington Plan expresses in fact a broad concept, world-wide in scope. If one thinks of the Farmington Plan in these terms, there is no reason why the concept should not honorably serve American libraries in the future as it has in its first decade. This concept that permitted an adjustment to rapidly changing events has been officially accepted by American research libraries. Unfortunately, however, the concept has been confused with certain procedures. Yet procedures, means, and methods are quite secondary to the basic intention.

### The Operational Problem

In an attempt to secure better information as well as opinion about the effectiveness of the Farmington Plan's operation and its existing procedures, a series of analytical studies was instituted. The several analyses that were prepared were by no means designed to give a complete picture. The survey was limited to a study of the subject allocations rather than of the existing area allocations. This limitation was necessary because the Farmington Plan office had never received adequate reports on the area programs, whereas it did have duplicate files of invoices from the several agents in western Europe. Furthermore, since the few area programs involved difficult bibliographical problems, the surveyors could see no way to make useful comparisons among them or with other procurement patterns. This inability to make comparisons was unfortunate because it seemed clear that future area programs could profit by the comparison if it could have been made.

Beyond a general random sample study, the surveyors tried to provide for some variation. They looked at a science (physics), at a social science (French economics and, less specifically, Scandinavian history), and at literature (Spanish and Scandinavian). Scandinavia was chosen because its book trade and bibliography are first-rate; Spain was chosen because these factors are less satisfactory. The choice of French economics was based upon the fact that France and economics are both widely studied in American universities; Danish literature was sampled by the surveyors because it is less frequently

studied and taught in this country. They looked at countries where the Farmington Plan agent has always been a book dealer, as well as at France, where the national library had acted as agent. Furthermore, the surveyors studied countries which have a large book production, such as France, as well as countries with a relatively smaller output of books.

Many other similar studies, as well as other kinds of studies about book procurement, would certainly have been possible, interesting, and probably useful. However, the survey was limited to some extent by time, by the number of available personnel, and by the immediately useable records.

The surveyors were firmly convinced that American librarianship needs much more continuing investigation of this type. It ought to be a fruitful field for teachers of librarianship and their students, as well as for any libraries interested in self-criticism and possible improvement of their acquisitions program. With this need in mind, it is essential that adequate records of foreign procurement from year to year be maintained, either in a central Farmington Plan office or in the responsible libraries. It seems essential also that a general stock-taking, on a national basis, be pursued at least every decade, preferably every five years. Without such a general review, the Plan will continue to operate on the basis of pure assumption and inflated pride. It should be evident also that there is a special need for the development and maintenance of adequate and comparable records for the area procurement programs as well as for those programs proceeding from a subject basis.

The five most pertinent analyses of receipts, namely Studies A-F, are repeated herewith in extenso but in altered order for reasons of clarity. Each study was undertaken by a different study group involving both experienced librarians and faculty specialists. As presented here, each study is followed by the conclusions drawn therefrom by the primary survey team.

## CHAPTER I. TWO STUDIES OF THE PLAN IN GENERAL

### Study A: A Random Sample of all Farmington Plan Receipts

This analysis of receipts was based on a random sampling of all Farmington Plan (FP) receipts (an estimated 150,000 volumes) during the first ten year period of the Plan's operation, 1948-1958. An economist experienced in sampling techniques was asked to select a random sample of all invoices for the purpose of analysis. Invoice information was then transferred to slips and sent to the forty-six recipient libraries (see Table 1) with a request that, if possible, they provide full bibliographical information from local cataloging. As a result there were 205 items<sup>1</sup> that could be identified and checked against the National Union Catalog (NUC).

TABLE 1  
THE LIBRARIES AND THE NUMBER OF ITEMS INVOLVED IN THE RANDOM SAMPLE

<u>Library</u>	<u>No. of Items</u>	<u>Library</u>	<u>No. of Items</u>
1. Harvard	24	26. Library of Congress	4
2. Illinois	14	27. Wayne	4
3. Columbia	13	28. Detroit Public	3
4. Yale	12	29. Indiana	3
5. New York Public	11	30. Temple	3
6. Brown	8	31. Linda Hall	2
7. Chicago	7	32. Newberry	2
8. Northwestern	7	33. Southern California	2
9. Purdue	7	34. National Library of Medicine	2
10. Teachers College, (Columbia University)	7	35. Wisconsin	2
11. California, Los Angeles	6	36. Brandeis	1
12. Ohio	6	37. Brooklyn Public	1
13. U.S. Department of Agriculture	6	38. Chicago Art Institute	1
14. California, Berkeley	5	39. Dartmouth	1
15. Catholic	5	40. Georgia Institute of Technology	1
16. Michigan	5	41. Johns Hopkins	1
17. New York University	5	42. Massachusetts Institute of Technology	1
18. Rhode Island	5	43. Oklahoma	1
19. Texas	5	44. Union Theological Seminary	1
20. Cincinnati	4	45. Washington, Seattle	1
21. Minnesota	4	46. Wesleyan	1
22. Missouri	4		
23. Oregon	4		
24. Pennsylvania	4		
25. Princeton	4	Total	220

1. A sample of this size will insure that the percentage, if obtained from an examination of the total population, would be unlikely—less than one chance in twenty—to differ in any case (the extreme case occurs when the percentage estimate in the sample is 50 per cent) by more than plus or minus seven percentage points.



NUC analysis revealed, most importantly of all, that seventy-nine of the 205 items (39 per cent of the sample), were apparently held solely by the Farmington Plan recipient libraries. This discovery suggests immediately that the Farmington Plan is producing a fairly large amount of uncommon material. (A qualitative analysis of this material appears later; at this point we are concerned only with the gross amount.) An additional thirty items (14 1/2 per cent of the sample) were held only by the Farmington recipient and the Library of Congress (LC).

Table 2 gives a larger picture of the location of copies held in more than one library across the country. There is a relatively small amount of duplication of Farmington Plan books, and these are broadly scattered. Beyond the point of three locations, very few items are involved. Since LC duplication has been in question, it is interesting to note that LC held only 33 per cent of the items checked.

TABLE 2  
DISTRIBUTION OF RANDOM SAMPLE ITEMS

	<u>No. of Items</u>	<u>Per Cent of Total</u>
I. Excluding LC Holdings		
In FP Library only	79	
In FP and 1 other location (not LC)	31	
In FP and 2 other locations	14	
In FP and 3 other locations	5	
In FP and 4 other locations	2	
In FP and 5 or more other locations	1	
II. LC Holdings		
In LC and FP Library only	30	
In LC and FP and 1 other location	15	
In LC and FP and 2 other locations	5	
In LC and FP and 3 other locations	6	
In LC and FP and 4 other locations	3	
In LC and FP and 6 other locations	2	
In LC and FP and 7 other locations	1	
In LC and FP and 9 other locations	1	
Total Held by LC	63	
Total Held by LC as FP Library (none unique)	4	
Total LC duplication	67	33%
III. All Locations		
In FP Library only	79	39%
In FP Library and 1 other	61	30%
In FP Library and 2 others	29	14%
In FP Library and 3 others	10	5%
In FP Library and 4 others	8	4%
In FP Library and 5 others	6	3%
In FP Library and 6 others	4	2%
In FP Library and 7 others	4	2%
In FP Library and 8 others	3	1%
In FP Library and 9 others	1	0.5%
Total	205	

(Note: There is an apparent discrepancy because of four cases in which LC is the original Farmington Plan Library.)

Table 3 shows the Farmington Plan libraries holding unique items in the sample. This Table also reveals a considerable spread across the country; thirty-five libraries are involved out of forty-six in the total sample. Table 4 reports on the country of origin of the unique titles.

TABLE 3  
LOCATION OF SEVENTY-NINE UNIQUE ITEMS

<u>Library</u>	<u>No. of Unique Items Held</u>	<u>Total No. of Items Held in Sample</u>	<u>Library</u>	<u>No. of Unique Items Held</u>	<u>Total No. of Items Held in Sample</u>
1. Brooklyn Public	1	1 unique checked	20. New York University	3	5
2. Brown	4	8	21. Northwestern	2	7
3. California, LA	4	6	22. Ohio	3	6
4. Catholic	5	5	23. Oregon	1	4
5. Chicago	1	7	24. Pennsylvania	2	4
6. Chicago Art	1	1	25. Purdue	4	7
7. Cincinnati	1	4	26. Rhode Island	5	5
8. Columbia	2	13	27. Teachers College, (Columbia University)	4	7
9. Dartmouth	1	1	28. Temple	1	3
10. Detroit Public	2	3	29. Texas	2	5
11. Harvard	8	24	30. Union Theological Seminary	1	1
12. Illinois	3	14	31. U.S. Department of Agriculture	3	6
13. Indiana	1	3	32. Wayne	1	4
14. Johns Hopkins	1	1	33. Wesleyan	1	1
15. Linda Hall	1	2	34. Wisconsin	1	2
16. Michigan	2	5	35. Yale	2	12
17. Missouri	1	4			
18. National Library of Medicine	1	2			
19. New York Public	3	11	Total	79	194

TABLE 4  
COUNTRY OF ORIGIN OF SEVENTY-NINE UNIQUE TITLES

<u>Country</u>	<u>No. of Items</u>
Italy	29
Holland	11
Germany	9
Austria	8
Switzerland	6
France	5
Sweden	5
Mexico	2
Portugal	1
Spain	1
Belgium	1
Denmark	1
Total	79

An attempt was made also to analyze the unique titles by subjects, but this attempt proved to be an awkward task. That almost all subjects were covered is apparent from the large number of recipient libraries involved. The larger groupings appear to be in agriculture, engineering and technology, belles-lettres, theology, and the sciences. Approaching the range of subjects covered from the point of view of the libraries involved, notice that Brown (Italian literature) had four unique titles out of eight held in this total sample; Catholic University (theology) had five out of five; Purdue (engineering) had four out of seven; Rhode Island and United States Department of Agriculture library (both agriculture) had five out of five and three out of six, respectively.

The next step was an attempt to find out whether these seventy-nine unique items were important enough to justify the procurement effort. Therefore, the slips were returned to the recipient libraries for judgment. The questions and responses are indicated in Table 5. As will be clear, almost everyone answered the questions directly, and the answers correlate reasonably well, although there was some confusion about number four. It is obvious that the questions were difficult ones, and the answers can at best be called informed assumptions.

TABLE 5  
QUALITATIVE JUDGMENT ON THE SEVENTY-NINE UNIQUE TITLES

1. Is this the kind of book you would probably have purchased anyway on the basis of available bibliographical information?

Yes - 22; No - 53. [75 replies out of 79 expected.]

2. If it is your present judgment that this is a book you might not have acquired without the Farmington Plan, tell us (2a) whether this failure to procure would have been on the basis of your disinterest in the book itself; or (2b) is this a desirable book that without the Farmington Plan you might not have learned about in adequate time—that is, did the Farmington Plan successfully produce a desirable book that you might otherwise have missed?

2a - 33; 2b - 26. [59 replies out of 53 expected on the basis of negative answers to 1.]

3. Now that you have this book, (3a) are you pleased to have it available in terms of your own program, or (3b) do you think it is unimportant for your own purposes?

3a - 46; 3b - 28. [74 replies out of 79 expected.]

4. Even if unimportant for your own purposes, (4a) do you think it important enough that we ought to have a copy in the country for potential national use, or finally (4b) do you think we would be just as well off without having it available?

4a - 32 yes and 7 "possibly"; 4b - 18. [57 replies out of 28 expected on the basis of (3b).]

Of the seventy-nine unique items, twenty-two probably would have been purchased in the ordinary course of events. On the other hand, Table 5 suggests that fifty-three would not have been so purchased; but twenty-six of this group of fifty-three might have been missed for lack of bibliographical information, and the inference is that these twenty-six books are desirable. These twenty-six are almost one-third of the entire group of unique Farmington Plan titles. When added to the twenty-two which would have been purchased anyway, there are forty-eight apparently desirable items, according to the recipient libraries. This figure checks closely with the direct response in forty-six cases that the recipient library was pleased to have the book in hand.

However, in twenty-eight cases out of the seventy-nine, or slightly more than one-third, the recipient library expressed definite unhappiness at having the book in its own collection. But this unhappiness diminished a bit in terms of the national need, in which case only a small number of libraries felt free to take a completely negative position. In eighteen cases (about 23 per cent of these unique titles), the recipient library clearly said that the country would be just as well off without the item in hand.

Of course, it must be remembered that the seventy-nine unique items represent only 39 per cent of the 205 items in the sample. Thus it can be said that of 205 items delivered under the Farmington Plan, twenty-six (13 per cent) unique and desirable items that might otherwise have been missed were delivered. But eighteen items (almost 9 per cent) of no apparent value to the nation were delivered.

It would have been possible to secure some qualitative analysis of 126 other titles that were available in more than a single location. However, it was assumed that the very fact that these same titles had been procured by other libraries on their initiative suggests a felt need for them.

The analysis revealed also that 79 per cent of all items in the sample had been reported to NUC by the Farmington Plan recipients. More importantly, 87 per cent of the titles held solely by the Farmington Plan recipients had been reported to NUC and cooperative cataloging provided.

### Conclusions Drawn from Study A

The study of a random sample of all FP receipts is, of course, the most generally interesting analysis. Of particular importance is the suggestion that of 205 books delivered, twenty-six (13 per cent) were unique and desirable ones that might otherwise have been missed. This percentage is a good margin of profit. Against this margin, however, must be weighed the existence of eighteen unique books (9 per cent) of no apparent value to the nation. This percentage, nevertheless, is a modest price to pay, especially in view of the probability that this price could be reduced by modifications in the existing procedure: a few more broad categories of exclusion could be established to guide libraries or agents in initial selection, or recipient libraries could be granted a measure of discretion as to retention in those cases where, legitimately, refinement of selection comes after receipt of the books themselves.

One general conclusion from this analysis is that we need and have profited from an organized, cooperative program to insure better coverage of foreign books. We should not return to the completely laissez faire attitude that preceded the Farmington Plan. Modification of the procedure and organization of the Plan is certainly in order, but its total service to American research libraries seems, at this point, to have been considerable.

Another major conclusion, supported by some of the other studies, is that in addition to a concerted effort to secure better coverage in depth, we need to press for more extensive and more widespread duplication of important foreign books. Table 2, "Distribution of Random Sample Items," suggests that beyond the point of two or three locations, one of these LC, there is little duplication. The fact that 39 per cent are held only by the Farmington Plan recipient and that, all told, LC holds only about 33 per cent of the total sample suggests that we are dependent on too few libraries in view of the large and increasing number of research and teaching staff and institutions in the United States. The booming academic market in the United States and an increasing tendency to be restrictive in interlibrary loans demand an increase in duplication of titles. In this regard, we should also recall that New York Public Library, which cannot loan, is probably often one of the two or three sole holding libraries.

Table 4, reporting the countries producing unique titles, with Italy at the top, will probably surprise no one. Worth pondering, however, is whether this result is due to overly zealous service by the Farmington Plan agent, or whether it is due to the relative scarcity of Italian studies in this country as compared with the general interest in Spanish, French, or German.

As to the situation with regard to national reporting and cooperative cataloging, one can consider this a quite good demonstration of conscientiousness.

It is not expected, of course, that the experience of the random sample will hold persistently, country by country, subject by subject, year by year. Inevitably there will be variation, as some of the other studies reveal, but there are also some persistent patterns that appear throughout the studies.

### Study F: Farmington Plan Materials Included in the List of Unlocated Research Books

Master copies of twelve issues of the Weekly List of Unlocated Research Books, the publication of the Union Catalog Division of the Library of Congress, were selected to provide coverage of the period

1949-1957, with emphasis on the later years. These lists indicated which titles had been successfully located after the lists were returned and which titles were not located. The following examination of the unlocated titles was made to determine (1) if a significant amount of material within the scope of the Farmington Plan failed to arrive, (2) if an extension of the Plan to other countries would have filled a need, and (3) if inclusion in the Plan of certain categories of presently excluded materials would have reduced appreciably the unlocated titles in the lists. The results are shown in Table 6.

TABLE 6  
A SAMPLE OF THE WEEKLY LIST OF UNLOCATED RESEARCH BOOKS EXAMINED  
FOR FARMINGTON PLAN MATERIALS OF THE INCLUDED AND  
EXCLUDED TYPES WHICH WERE UNLOCATED BY NUC

<u>Date of List</u>	<u>No. of Items in List</u>	<u>Number of FP Inclusions</u>	<u>Number of FP Exclusions (Grounds of Exclusion Underlined)</u>
1. Jan. 7, 1949	20	0	0
2. Feb. 3, 1950	36	0	0
3. March 9, 1951	80	0	0
4. April 4, 1952	82	1 France 1951	1 <u>Russia</u> 1949
5. May 15, 1953	89	0	1 <u>Chile</u> 1950 1 <u>Rumania periodical</u> 1951
6. June 18, 1954	100	0	1 <u>Brazil numbered series</u> 1950 1 <u>Switzerland thesis</u> 1953 1 <u>Argentina</u> 1950
7. July 28, 1955	56	0	0
8. Oct. 21, 1955	73	1 Italy 1953	1 <u>Japan periodical</u> v. 2, 1953
9. Aug. 17, 1956	92	1 Italy 1949	1 <u>Russia</u> 1948 1 <u>Russia periodical</u> no. 2, 1954 1 <u>Belgium periodical</u> v. 3, 1953 1 <u>Formosa periodical</u> v. 4, 1952
10. Sept. 21, 1956	55	1 Italy 1949 (local imprint)	0
11. Sept. 13, 1957	35	0	1 Germany thesis 1953 1 <u>Italy periodical</u> 1950
12. Dec. 13, 1957	101	1 Malaya 1954	1 <u>Egypt government document</u> 1955 1 Germany <u>thesis</u> 1949 1 Germany <u>thesis</u> 1951
Totals:	819	5	16
Per Cent of Total		0.6% of the 819	2%
No. of Items per Week		.42	1.33

Nothing in the lists was counted if it were marked found by a specific library or if a notation had been made to "see" a certain library for fuller information. Undated items were omitted. "FP Inclusions" (that is, materials which seemingly should have been received under the Plan and reported to the National Union Catalog) were counted only since the date at which Farmington Plan coverage began for the particular country indicated by the imprint.

"FP Exclusions" was made up of the materials by hypothetical extension of the Plan to presently excluded countries and categories. The publications of the United States, Canada, and Great Britain were

completely omitted. Non-Plan countries and their excluded materials were considered from the arbitrary date of 1948 when the Plan began. The excluded materials of countries presently (1958) in the Plan were counted only since the year that coverage of each country began, as in the first group. The excluded categories were periodicals and numbered series, beginning in 1948 or later, theses, government documents, and translations from a western language. The total sample represents about 2 1/2 per cent of the estimated 468 Weekly Lists issued from 1949 to 1957. But whether the results are read as five Farmington Plan items which were requested, but could not be located, or whether all the Lists for the nine-year period would have yielded forty times that number, or 200 missing items (twenty-two per year), the figure seems inconsiderable. In terms of unlocated requests, the amount of material within the scope of the Farmington Plan which failed to arrive does not seem to be significantly large.

Only Russia (listed three times) appeared more than once in the exclusions by country, and for more than one type of material. Argentina, Brazil, Chile, Formosa, Japan, and Rumania, each appeared once. Periodicals were listed six times, theses four times, and numbered series and government documents once each as grounds of exclusion. The area of greatest need in extension of the Plan to other countries or the inclusion of other materials is shown to lie in periodicals, theses, and Russian publications; but in the entire picture of requests for unlocated books, the amount is very small. Their inclusion would not have reduced appreciably the unlocated titles in the lists.

Because so little Farmington Plan material appeared in this sample, attention was next turned to two issues, Nos. 20-21, of the Select List of Unlocated Research Books, the annual partial cumulation from the Weekly Lists. Unlike the Weekly Lists, the Select List does not indicate whether these items were eventually found. These issues were examined on the same basis for Farmington Plan inclusions and exclusions. The results are shown in Tables 7 and 8.

Table 7 shows the inclusions arranged according to the countries of imprint. The larger numbers of items for France and Germany may be due to the volume of publishing, or to more frequent familiarity with their languages, or to some breakdown in Farmington receipts. Table 8 shows the same material

TABLE 7  
FARMINGTON PLAN INCLUSIONS, UNLOCATED BY NUC, LISTED IN TWO ISSUES  
OF THE SELECT LIST, ARRANGED BY COUNTRY OF IMPRINT

Country of Imprint	List No. 20 (Books sought in 1955)	List No. 21 (Books sought in 1956)
Algeria	0	1
Australia	0	2
Belgium	1	1
Denmark	0	3
France	15	12
Germany	7	12
India	2	8
Italy	6	5
Mexico	0	2
Morocco	1	0
Netherlands	1	6
Norway	1	0
Pakistan	1	2
Philippines	1	0
Portugal	0	1
Spain	2	2
Sweden	2	0
Switzerland	3	1
Turkey	3	0
Totals	46	58

TABLE 8  
FARMINGTON PLAN INCLUSIONS, UNLOCATED BY NUC, LISTED IN TWO ISSUES  
OF THE SELECT LIST, ARRANGED BY DATE OF IMPRINT

<u>Date of Imprint</u>	<u>List No. 20</u> (Books sought in 1955)	<u>List No. 21</u> (Books sought in 1956)
1948	5	5
1949	1	3
1950	3	2
1951	7	3
1952	5	4
1953	13	10
1954	10	16
1955	2	11
1956	--	4
Totals	46	58

arranged by year of imprint. Here the books requested tend to group in a period extending back three or four years before the time of the requests. The requests for the period may indicate greater interest in books of recent imprint (within the limited period 1948-1956), or they may reflect the increasing number of countries involved in the Farmington Plan, from three in 1948 to about 100 in 1954.

An examination of the exclusions is shown in Tables 9 and 10. Among countries, Russia and its constituent areas lead in numbers, followed closely by other Iron Curtain countries. Theses, in the absence of data on periodicals, are the principal excluded class of materials.

These lists for two recent years, when tested on the three points raised at the beginning of this paper, show that the annual number of requested in-scope Farmington Plan books which failed to arrive could

TABLE 9  
FARMINGTON PLAN EXCLUSIONS, UNLOCATED BY NUC, LISTED IN TWO ISSUES  
OF THE SELECT LIST, ARRANGED BY COUNTRY OF IMPRINT

<u>Country of Imprint</u>	<u>List No. 20</u> (Books sought in 1955)	<u>List No. 21</u> (Books sought in 1956)
Argentina	3	0
Bulgaria	0	1
Czechoslovakia	5	10
Finland (Finnish language)	2	0
Guatemala	1	0
Hungary	1	2
Japan	3	4
Latvia	1	1
Lithuania	1	0
New Zealand	0	2
Poland	7	3
Russia	11	9
Karelia	0	1
Tadzhikistan	0	1
Ukraine	2	0
Venezuela	0	1
Totals	37	35

TABLE 10  
FARMINGTON PLAN EXCLUSIONS, UNLOCATED BY NUC, LISTED IN TWO ISSUES  
OF THE SELECT LIST, ARRANGED BY TYPE OF EXCLUSION

<u>Type of Exclusion</u>	<u>List No. 20 (Books sought in 1955)</u>	<u>List No. 21 (Books sought in 1956)</u>
Thesis	12	12
Government document	4	7
Translation from a western language	5	0
Numbered series	1	0
Totals	22	19

Note: Periodicals are not included in the Select Lists.

be as many as forty-six to fifty-eight, as compared with the hypothetical average of twenty-two derived from the sample of the Weekly Lists. Compared with the number of entries in the two Select Lists, which are estimated to contain about 1,250 entries each, this increase still seems small, about 4 per cent. When the twenty-five to thirty-seven requested titles which were published in 1953-55, the years cited most frequently, are inflated to allow for a greater volume count and are then compared with the available data on Farmington Plan receipts during those same three years (52,820 volumes), the significance of the failures again seems small. The same conclusion holds true for the exclusions. The numbers of titles involved are comparatively small, while the areas of most frequent listing remain largely the same.

These results can be related to the similar findings of C. Donald Cook,<sup>2</sup> with the important exception that Cook's study of Lists Nos. 14-17, for books sought in 1949-1952, counted all books with 1948 and later imprints, and then subtotaled those from countries not yet in the Plan when the books were printed. The point he made still remains unanswered by this study, that is, whether the small number of Farmington Plan items found in the Select and Weekly Lists is due to the successful operation of the Farmington Plan or to other means used by American libraries to secure their needed research books.

#### Conclusions Drawn from Study F

This study of FP materials included in lists of unlocated research books, consistent with the earlier and similar study by C. Donald Cook, provides only negative information. It does not clearly suggest that more efficient operation of Farmington Plan or extension of the Farmington Plan to cover other countries and types of material would have appreciably reduced the number of unlocated research books specifically wanted by American libraries.

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2. Cook, C. Donald. "The Farmington Plan and the Selected List of Unlocated Research Books," College and Research Libraries, 15:281-284+, July 1954.



## CHAPTER II. FOUR STUDIES OF SPECIFIC SUBJECTS

### Study B: Citations in Two French Economics Journals Compared with Farmington Plan Receipts

In order to determine how Farmington Plan receipts compare with materials actually known to have been published, the surveyors made a specific test. The field selected was limited to French books on economics, published from 1950 to 1954 and reviewed or received by two journals, *Revue d'Économie Politique* and *Revue Économique*, in 1950 to 1955. The 378 listed citations were then compared with Farmington Plan receipts as shown on the invoices rendered by the Bibliothèque Nationale to the libraries principally responsible for economics.

The result of this comparison was the discovery in the invoices of 255 of the 378 citations, with 123 titles not found. However, 484 additional economics titles, not listed in the French journals, were found in the invoices. The conclusion must be that, of a group of titles in a particular subject cited in reviewing journals in the country of origin, 67 per cent are known to have appeared in the United States through the Farmington Plan. But in addition, the Plan provided many more additional titles—equal in fact to 128 per cent of the original citations—which were not cited in the same reviewing journals.

Of the 123 books in the journals of which no trace could be found in the invoices, seventy-three were immediately found to be represented by Library of Congress catalog cards, and thus their existence in the United States is generally known. When the remaining fifty titles were checked by the National Union Catalog, only fourteen could not be located. Comparison of these fourteen with the original 378 citations is even more striking and leads to the conclusion that either through the Farmington Plan or by other means of acquisition, American libraries did receive at least one copy of almost all publications tested (96 per cent) in this particular field.

The fifty titles can be compared as to uniqueness or duplication in Table 11. Besides the fourteen unlocated items previously mentioned, there were thirteen unique items. It cannot yet be said how many of these may have been the contribution of the Farmington Plan.

TABLE 11  
HOLDINGS OF FIFTY TITLES NOT FOUND IN FARMINGTON INVOICES

Number of Libraries Reported Holding an Item	Titles Found only in Journals
0	14
1	13
2	5
3	3
4	0
5	3
6	1
7	2
8	2
9	2
10	1
13	1
Total	47
Ruled out during checking	3

To test the character of the 484 titles found in the invoices and not in the journals, a random sample of ninety-one titles was selected for further checking. The sample was sent first to the six libraries indicated as recipients on the invoices and then to the National Union Catalog. The libraries supplied additional information on entry and pagination, and NUC listed the libraries recorded as holding the titles. The results, in terms of uniqueness or duplication of the ninety-one items, are shown in Table 12. Forty of the ninety-one titles were apparently held by only one library, and thirty titles were known to be held by only two libraries.

TABLE 12  
RESULTS OF A RANDOM SAMPLE OF NINETY-ONE TITLES FOUND ONLY IN  
FARMINGTON INVOICES

<u>Number of Libraries Reported Holding an Item</u>	<u>Titles Found only in Invoices</u>
0 <sup>a</sup>	0
1, but no record at library	7
1, recorded at library	33
2	30
3	7
4	6
5	3
6 or more	5
Total	91

<sup>a</sup>Invoice library always regarded as one holding, that is, as if it always reported holding an item, although the book may not in fact have been reported to NUC or located at the invoice library.

Opinions about the nature or importance of these materials were solicited from the libraries, because these titles were not found listed in the journals and were thus of undetermined importance. But the answers were too fragmentary to be used. Therefore the objective comparison of length, admittedly only the roughest index of a title's ephemeral or pamphlet nature, was made. The ninety-one titles were re-examined in terms of length of pagination. Table 13 shows the data arranged not only by number of items with any given length, but also according to whether the titles were uniquely or multiply held.

TABLE 13  
PAGINATION AND HOLDINGS OF NINETY-ONE TITLES FOUND ONLY  
IN FARMINGTON INVOICES

<u>Number of Pages in Title</u>	<u>Titles Reported by Only One Library</u>		<u>Titles Reported by More than One Library</u>		<u>Total</u>	
	<u>Number</u>	<u>Per Cent</u>	<u>Number</u>	<u>Per Cent</u>	<u>Number</u>	<u>Per Cent</u>
1-59	14	35	6	12	20	22
60-119	8	20	10	19	18	20
120-179	4	10	2	04	6	06
180-239	1	02	7	14	8	09
240 and over	6	15	22	43	28	31
Not known	7	18	4	08	11	12
Totals	40	100%	51	100%	91	100%

The results indicate that 35 per cent of the unique items were between one and fifty-nine pages long. The results correspond with the general impression derived from titles and prices during the preliminary examination of the 484 titles. The length of multiply-held titles showed no such tendency, but 43 per cent grouped instead in the category of multi-volume works, as compared with 15 per cent in the same category of the unique titles.

A point of interest that developed in the checking by NUC of the ninety-one items sampled from the 484 which were found only in the invoices—that is to say, from 484 known Farmington receipts—was that thirty-two of the ninety-one items were not recorded as held by the Farmington Plan library mentioned in the invoice. Of the forty unique items, fourteen were apparently not recorded as held by the indicated library. In other words, in twenty-six cases, the unique holdings in NUC agreed with the invoice, while in fourteen cases, only the invoice indicated the presence of a copy in the country.

Of the same forty unique titles, thirty-three were recorded at the libraries questioned, but seven could not be located with the information available; this was true of only two additional non-unique titles. The conclusion must be that although when questioned the libraries acknowledged receipt of 90 per cent of the sample and 82 per cent of the unique items, only 65 per cent of the sample and the same percentage of the unique titles were reported to NUC.

In the same vein, NUC did not list eighty-five titles (33 per cent) of the 255 which were listed in the journals and found in the LP invoices, including seven of twenty unique items. A summary of information on these 255 titles, from NUC records, appears in Table 14.

TABLE 14  
CHECK BY NUC OF RECORDED HOLDINGS OF 255 ITEMS FOUND IN BOTH JOURNALS  
AND INVOICES

1. Total number of titles held:

by LC	135	} involves a total of 227 different items out of the 255.
by New York Public Library	135	
by Harvard Libraries	115	
by University of Chicago	94	

2. Number of titles with LC cards, supplied by LC or by some cooperating library: 191

3. Number of titles held only by LC and Farmington Plan library:  
17

4. Number of libraries other than Farmington Plan library but including LC which held non-unique titles:

<u>Number of Libraries (Locations)</u>	<u>Number of Titles</u>
1	42
2	45
3	37
4	22
5	14
6	16
7	16
8	14
9	8
10 or more	21
Total	235
Number held only by FP Library	20

### Conclusions Drawn from Study B

Of the material reviewed or cited in the two French economics journals, 96 per cent is available in this country; this percentage is a good showing for an important subject from a major country. But only 67 per cent was delivered by the Farmington Plan. Of this 67 per cent (255 titles), all but twenty titles were located elsewhere in the country, so that in a sense acquisitions are taken care of relatively well outside the operations of the Farmington Plan. But LC holds only about one half (135) of the 255 titles, and the available titles, outside the Farmington Plan, are apparently widely scattered across the country, with no remarkable concentration.

Of the larger amount of less obvious (not cited or reviewed) material that the Farmington Plan did deliver, 56 per cent was acquired by other libraries. This independent acquisition is indicative of the importance of the material. The other 44 per cent is apparently held uniquely by the Farmington Plan libraries. Is the 44 per cent grouping less important for the purposes of the Plan than the 56 per cent grouping? The surveyors were unable to get useful evaluations from the recipients, probably because the material was concentrated in so few institutions that the evaluation task seemed too large. It is apparent, however, from the pagination analysis that the 44 per cent grouping is more frequently pamphlets than is the other grouping. The question then is whether a special effort should be made in French economics to secure current pamphlets that may be difficult to identify or locate in any other way.

It appears that without the Farmington Plan, American libraries are bringing in most of the obvious material (although the material is not centralized), and a fair amount of less obvious material. The Farmington Plan is bringing in an even larger amount of less obvious material. The surveyors' judgment is that through the normal procurement channels an incomplete job is done and that somehow the ephemeral, fringe material, the pamphlets, in such a field as French economics should be acquired. How we accomplish this (by intensifying our own procurement efforts or by calling on a French library or dealer to assist) is another question. It also appears that no library outside the Farmington Plan is doing a very effective job of covering this field.

National Union Catalog reporting is less complete in this field of French economics than in the average. This failure can be explained by the heavy concentration in one or two libraries, where a low cataloging priority is assigned to the pamphlets which have been discussed.

### Study C: Books in Physics

Purdue University had been responsible under the Farmington Plan since its inception for almost the entire field of physics. Fortunately the Purdue Library, unlike most, had maintained a separate catalog record of its Farmington receipts. Thus it was possible to secure complete cataloging information, that could be checked easily at other libraries, with results as shown in Table 15.

In each of the other selected libraries, the percentage of titles held in the third period (1956-) is greater than in the earlier periods. The combined total of 359 volumes held by California, John Crerar, and Linda Hall represents only 193 titles (37 per cent), indicating a fair amount of duplication. New York Public Library statistics show that its holdings are virtually equal to those of the three other libraries.

If a title is available at several libraries, there does not seem to be an unusual concentration in any particular geographical area. Of the 199 titles which are available at only two or three libraries (excluding Purdue), however, 115 of them are available either at New York Public only or at both New York Public Library and the Library of Congress. Only eight (4 per cent) of the titles in the first period were received by ten or more libraries. Twenty titles (8 per cent) were owned by ten or more libraries in the 1952-55 period. In the 1956 period, eighteen titles (24 per cent) were held by ten or more libraries. When one learns that the few titles (seventy-four) in the third period are nevertheless held by more libraries, it is fair to suspect that more libraries are giving more attention to physics.

Only 16 per cent of the titles from the third period are unique; this percentage is well below the average of 29 per cent. Traditionally, German and French have been the most important scientific

TABLE 15

## ANALYSIS OF PHYSICS TITLES PROCURED BY THE FARMINGTON PLAN

## 1. Number of Titles in Survey by Date of Imprint:

<u>Up through 1951</u>	<u>1952-55</u>	<u>1956- and Following</u>	<u>Total</u>
207	248	74	529

## 2. Titles Held by Other Selected Libraries:

<u>Library</u>	<u>-1951</u>	<u>1952-55</u>	<u>1956-</u>	<u>Total</u>
California, Berkeley	36 (17%)	48 (19%)	18 (24%)	102 (19%)
John Crerar	27 (13%)	57 (23%)	30 (41%)	114 (22%)
Linda Hall	41 (20%)	68 (27%)	34 (46%)	143 (27%)
New York Public	75 (36%)	80 (32%)	31 (42%)	186 (35%)
Library of Congress	113 (55%)	122 (49%)	45 (61%)	280 (53%)

## 3. Number of Libraries Holding Specified Number of Titles:

<u>Number of Libraries</u>	<u>-1951</u>	<u>1952-55</u>	<u>1956-</u>	<u>Total</u>
1	59	82	12	153
2	46	48	10	104
3	47	38	10	95
4	16	15	8	39
5	12	17	3	32
6	8	7	4	19
7	5	11	2	18
8	2	9	4	15
9	4	1	3	8
10	2	1	1	4
11	3	3	1	7
12	1	4	2	7
13	2	1	2	5
14	-	2	1	3
15	-	4	-	4
16	-	1	-	1
17	-	1	-	1
18	-	-	-	0
19	-	-	1	1
20	-	2	2	4
21	-	-	1	1
22	-	-	-	0
23	-	-	2	2
24	-	1	-	1
25	-	-	1	1
26	-	-	-	0
27	-	-	-	0
28	-	-	-	0
29	-	-	1	1
30	-	-	-	0
31	-	-	-	0
32	-	-	1	1
33	-	-	1	1
34	-	-	-	0
35	-	-	-	0
36	-	-	1	1

## 4. Unique Titles

<u>-1951</u>	<u>1952-55</u>	<u>1956-</u>	<u>Total</u>
59 (29%)	82 (33%)	12 (16%)	153 (29%)

languages, yet 50 per cent of the unique titles were found to be in Italian; almost certainly this percentage is an over-emphasis. German was the language of 23 per cent of the unique titles, French of 10 per cent, Dutch of 9 per cent, and all others of 8 per cent. Although it seems too risky to judge books by the number of pages, it is interesting to note that forty-four of the unique titles (29 per cent) have fewer than fifty pages.

A physics professor and two science librarians were asked to evaluate the 153 unique titles. They agreed on the grouping of 89 (58%) of them (see Table 16). Surprisingly, the professor found fewer titles unacceptable than the librarians did. In either case a fair number were found acceptable (i.e., Groups I-III). Of the titles in Group IV, no particular language is rejected with greater frequency than any other if one considers the percentages of each language present in the sample. It is noteworthy, however, that the librarians and the professor found unacceptable a disproportionately large number of titles with fewer than fifty pages.

TABLE 16  
QUALITATIVE EVALUATION OF UNIQUE TITLES

Group	By Two Science Librarians	By a Physics Professor
I. Essential for research	0	5 (3%)
II. Useful for research	14 (9%)	22 (14%)
III. Acceptable because of general interest	56 (37%)	84 (55%)
(Subtotal)	70 (46%)	111 (72%)
IV. Unacceptable, too popular, etc.	83* (54%)	42* (28%)
Total	153	153
V. Analysis by language		
Italian	39 (47%)	23 (55%)
German	17 (21%)	5 (12%)
French	9 (11%)	5 (12%)
Dutch	7 (8%)	2 (5%)
Misc.	11 (13%)	7 (16%)
*Thirty-five titles (42 per cent) of the eighty-three titles in group IV had fewer than fifty pages.		*Twenty-three titles (55 per cent) of the forty-two titles in group IV had fewer than fifty pages.

The chronological grouping in Table 15 was not planned; it arose from checking procedures at NUC. The listing by year of imprint in Table 17 was prepared subsequently in order to get a picture of book delivery year by year. The presence of the 1939 and 1944 imprints cannot be explained. The 1947 imprints probably came in 1948, which was the first year of the Farmington Plan's operation and thus not a completely successful year. Records for 1957 were obviously incomplete.

TABLE 17  
TITLES IN SURVEY BY YEAR OF IMPRINT

1939	1944	1947	1948	1949	1950	1951	1952	1953	1954	1955	1956	1957	Total
1	1	4	23	53	66	59	65	59	64	60	65	9	529

### Conclusions Drawn from Study C

This study did not determine what additional foreign physics books of the period are held by any of the libraries involved. There is no picture, therefore, of a total physics research collection of books that might be labeled "optimum" or "adequate." Yet a number of interesting suggestions occur from the study; in view of the recent emphasis on physics, it is doubtful, of course, that many of these suggestions could be transferred to other subjects.

Immediately, a widened and intensified acquisition of foreign physics books in recent years is seen, with most libraries acquiring more books than in earlier years, and with more libraries involved in recent years.

Among the selected group of libraries in Table 15, the relative strength of LC and of NYPL is remarkable. The even sharper increase in relative strength of John Crerar and Linda Hall (a new institution) is also to be noted. Most striking is the inference to be drawn from the table that, although increasingly more libraries are buying foreign physics books, even yet there are significant holdings in only two or three libraries in the entire country, and these holdings are in so vital a field as physics. The national need demands, first of all, that many more libraries should be acquiring larger stocks of important foreign books in physics and perhaps in other sciences also. We are leaning on too small a group of vigorous libraries. An effort to correct this situation might be as important as to intensify collecting on the part of the few superior institutions.

In all of this discussion, of course, one is aware of the arguments about the nature of the literature of physics (journals vs. books, strong countries vs. weak, etc.). But the relatively large number of books acquired by LC and NYPL, as well as by John Crerar and Linda Hall, suggests that a fair amount of foreign book acquisition is necessary in this field. The increasing number of books that all research libraries have been getting in recent years emphasizes further the importance of such acquisitions. If the data in Table 17 are representative, the general increase in acquisition reflects possibly some increase in book production and partly a sudden awakening to the need for these books.

It may well be, to judge from Table 15, that in physics American libraries are approaching a desirable level of collecting outside the Farmington Plan. The decrease in percentage of titles in the period 1956 and following, attests to this increased competence. The fact that many of the unique titles are in Italian and in pamphlet form (in a field little given to pamphlets, at least for academic purposes) may suggest that they are of truly minor importance. The acquisition of unimportant titles could be limited perhaps by modifying the definition of "research importance." Yet the evaluations of the unique titles, provided on the one hand by two experienced science librarians, and on the other hand and independently by a professor of physics, suggest that the majority of the titles were acceptable. By adopting the severer decisions of the librarians, we find only eighty-three unacceptable items out of a total of 529 delivered (15 per cent). (It should be noted that the evaluations were made without access to the books themselves and merely on the basis of bibliographical information, reviews when available, and general knowledge of the field.)

In considering the suggestion to limit unnecessary receipts, there are two other possibilities, in terms of the value of Farmington Plan procurement procedures. In the first place, since by more vigorous collecting in recent years American libraries have gradually been reducing the number of Farmington Plan-induced unique titles, it would appear that in earlier years the Farmington Plan was providing an important service that was not always recognized as urgent. The question, then, is whether there are currently fields in the position which physics held in the early 1950's. More specifically, are there fields where the Farmington Plan is now supplying a large number of titles that are unique simply because we have not yet awakened to a general sense of the importance of these fields? In the second place, the Farmington Plan, although it is adding at least one to the small number of copies of foreign books on physics possibly ought somehow to be adding even more copies of many of them.

### Study D: Scandinavian Collections at Minnesota

The University of Minnesota Library was asked to review the Swedish, Danish, and Norwegian national bibliographies for 1953 and to indicate without reference to existing collections at Minnesota or to

other bibliographical tools or records, all items that would appear to be "appropriate" for Minnesota under the Farmington Plan arrangements (Scandinavian History, Languages, and Literatures). Subsequently, the same national bibliographies were checked in the same areas for actual holdings and for total receipts at Minnesota under the Farmington Plan; this last task was completed at the University of Kansas Library through use of the appropriate invoices. Finally, all of this checking was forwarded to the National Union Catalog for the addition of locations.

Most prominently this study revealed a considerable discrepancy between, on the one hand, the Minnesota understanding of what might be "appropriate," and, on the other hand, what had actually been delivered by the Farmington Plan. From Sweden, for example, the Farmington Plan had delivered only 78 per cent of the "appropriate" items and from the other two countries only 54 per cent (see Table 18). At the other end of the scale, moreover, the Farmington Plan had delivered a considerable amount of material that the Minnesota review did not mark "appropriate": 47 per cent from Sweden, 39 per cent from Denmark, and 25 per cent from Norway (see Table 19).

TABLE 18  
MINNESOTA'S "APPROPRIATENESS" STUDY

<u>Category</u>	<u>Swedish</u>	<u>Danish</u>	<u>Norwegian</u>
1. Number marked "appropriate"	237	172	143
No. of above held by LC:	98	93	82
2. Number of "appropriate" items available at Minnesota	216	113	103
No. received by FP	184 (78%)	92 (54%)	77 (54%)
No. received by other means	32	21	26
3. Number of "appropriate" items not received at Minnesota	21	59	40
No. of above not located anywhere by NUC	11	42	24
Evaluation of these unlocated titles by outside reviewers:			
Of primary value to a research library	2	5	
Of value to a research library	6	13	
Of little research value, or an example of popular culture	3	14	
Of no interest to a research library	0	10	

Several qualifications must be kept in mind in evaluating this situation. Minnesota was not expected to review the books actually delivered to them by the Farmington Plan, but merely to operate by way of one method of library book selection, namely checking against a national bibliography. It is not likely that Minnesota would want to defend this particular selection job as perfect or even near-perfect

TABLE 19  
MINNESOTA'S EVALUATION OF FARMINGTON RECEIPTS

<u>Category</u>	<u>Swedish</u>	<u>Danish</u>	<u>Norwegian</u>
1. Total received by FP	347	150	103
No. held by LC	126	91	65
2. Number marked "appropriate"	184 (53%)	92 (61%)	77 (75%)



in detail. Furthermore, Minnesota was not given an opportunity to reconsider its evaluation in the light of the results of subsequent checking.

In order to get opinions for comparison, the surveyors asked outside specialists in Swedish and in Danish studies<sup>1</sup> to review in more detail two critical groups: (a) those "appropriate" titles that did not turn up anywhere in the country according to NUC, and (b) those Swedish and Danish titles which appear, on the basis of NUC checking, to be unique holdings at Minnesota. In both cases there seems to be reasonable agreement between the judgments of the outside reviewers and the judgments of the University of Minnesota librarians. The outside reviewers placed in categories 1, 2, and 3 (defensible for a research library) all of the Swedish "appropriate" items not located by NUC and about three-fourths of the Danish group (see Table 18). Furthermore, in the evaluation the unique titles (see Table 20), there is a noticeable agreement between the Minnesota decision and that of the outside reviewers: that is, they considered as obviously "appropriate" categories 1 and 2 and as less appropriate categories 3 and 4.

TABLE 20  
SOURCE AND EVALUATION OF UNIQUE TITLES IN MINNESOTA RECEIPTS

<u>Category</u>	<u>Swedish</u>	<u>Danish</u>	<u>Norwegian</u>
1. Total Minnesota receipts	379	171	129
No. received by FP	347	150	103
No. received by other means	32	21	26
2. Total unique titles in Minnesota receipts	168 (44%)	14 (8%)	27 (21%)
No. received by FP	160	12	22
No. received by other means	8	2	5
3. Unique titles evaluated as "appropriate" by Minnesota	79	5	18
4. Unique titles evaluated by outside reviewers			
Of primary value to a research library	31	2	
Of value to a research library	65	1	
Of little research value, or an example of popular culture	60	5	
Of no interest to a research library	12	6	
Total	168	14	

Accepting these judgments of the unique titles, it appears from Table 20 that in the case of Sweden the Farmington Plan delivered a considerable number of desirable unique titles, but about as many that are perhaps less desirable; there was a somewhat less favorable procurement from Norway. In the case of Denmark, it is clear that most of the desirable Farmington Plan material was duplicated somewhere else in this country (only 8 per cent of the titles were unique, and not many of these were judged important). In no case did the holdings of the Library of Congress produce remarkable duplication (see Tables 18 and 19).

Accepting the judgments of the "appropriate" titles not located anywhere by NUC, it appears (see Table 18) that we are missing eleven Swedish titles generally considered desirable by all concerned,

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1. This procedure involved two American faculty members and two Scandinavian librarians with recent experience in the American scene. It was not possible to find equally qualified reviewers for the Norwegian group. These specialists consulted reviews and other bibliographies. Their categories are set forth in Tables 18 and 20.

but this number is out of a total of 237 items. Therefore, the gap in American holdings from Sweden is insignificant. We apparently miss a larger amount of desirable Danish and Norwegian books, although later analysis revealed that several of the missing Danish books actually fell outside the scope of the Farmington Plan (e.g. monographic series).

### Conclusions Drawn from Study D

The result of this study is a rather mixed picture. Because the Farmington Plan produced only 78 per cent of the "appropriate" Swedish books and only 54 per cent of books from the other two countries, it may be concluded that agents of the Plan are not doing a very thorough job in Scandinavia. It may also be that the instructions of the Plan lack precision, or that Minnesota's selection criteria are uncertain. But at the same time the Farmington Plan over-produced remarkably by bringing in 47 per cent of Swedish, 39 per cent of Danish, and 25 per cent of Norwegian books which were not marked "appropriate."

Yet the Farmington Plan did bring in a considerable number of desirable unique titles from Sweden for seventy-nine marked "appropriate" by Minnesota turned out to be unique. Out of the total number of unique titles (168), the outside reviewers put ninety-six in their favorable categories. The ninety-six titles are out of a total Farmington Plan shipment of 347. The Danish experience in this regard was completely different, with very few unique titles of importance.

At the same time it could perhaps be said that American libraries on their own did not do too well, as suggested by the large number of desirable unique titles brought in from Sweden by the Farmington Plan. Apparently a considerable number of desirable Danish and Norwegian books are not available in this country (see Table 18).

Of course a quite different vantage point could have been used for evaluating Farmington Plan service from Scandinavia. Outside reviewers could have been asked to analyze the total Farmington Plan delivery in direct comparison with the appropriate national bibliographies. Unfortunately it was not possible to have this evaluation done except hastily and sketchily with reference to one country. And the specialist did say that the Farmington Plan selection for the year seemed to have produced all of the essential books, most of those of second rank, and a fair selection of the literature of "popular taste." We must remember in this whole discussion that in large part we are dealing with one of the most difficult and debatable subject areas, that of current belles-lettres.

A general conclusion is that if better, more precise, coverage from Scandinavia is desirable for this country at large as well as for Minnesota's own program, there is a clear need for more precise selecting and for more thorough monitoring of procurement results. This need can be met in view of the excellent Scandinavia bibliography and book trade, for the study found no Farmington Plan material which did not appear in the national bibliography.

### Study E: Farmington Plan Delivery of Spanish Literature

In order to see how thorough Farmington Plan coverage had been for Spanish literature published in Spain, the University of Illinois Library, which carried that assignment, made a detailed survey of Bibliotheca Hispana of 1954, a year in which the Farmington Plan had developed extensively. Under the supervision of the chairman of his academic department, a graduate student in Spanish literature marked in Bibliotheca Hispana all books that appeared to be worth acquiring and keeping for research purposes. Out of the 1,508 books listed, he omitted 141 as being outside the scope of the Farmington Plan (Basque literature, reprints, translations, etc.) and another 1,176 as being "works of no literary value."<sup>2</sup> Of the remaining books, all of which were desirable, a total of 121 had been delivered by the

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2. In making these decisions, the student used the following books: Sáinz de Roblés, Federico Carlos. Ensayo de un diccionario de la literatura, t. II (Escritores españoles e hispanoamericanos). 2. ed. Madrid, 1954; Diccionario de literatura española. 2. ed. Madrid, 1953; Revista de filología española; Nueva revista de filología hispánica; Insula; and Books Abroad.

Farmington Plan, but another seventy had not. In other words, out of 191 desirable books, the Farmington Plan had delivered only 63 per cent. The percentage does not indicate much success for the Plan.

The 191 desirable books were then checked against the National Union Catalog. Of the 121 books available at Illinois, all but twenty-one were also located elsewhere; thus twenty-one (17 per cent) of the desirable books appear to be unique copies at Illinois. Of the 121 available at Illinois, the Library of Congress held seventy-four (61 per cent) and the New York Public held thirty-eight.

Of the seventy desirable books not delivered to Illinois, twenty-eight (40 per cent) could not be located anywhere in the country by NUC. Of the forty-two that were located, fourteen were held by LC, seven were held by LC and at least one other library, and twenty-one were not held by LC, but by other libraries (and of these last, single locations in eight libraries were found for thirteen). The twenty-eight unlocated but desirable books represent 15 per cent of all the desirable books. (In a subsequent checking described below, Wisconsin marked as desirable twenty-one of these same twenty-eight books.)

Finally, the University of Wisconsin Library, without prior knowledge of the Illinois checking experience, was asked to review the same bibliography because the interest in Spanish literature in Madison is such that as of January 1957 Wisconsin arranged to have the Farmington Plan agent in Spain send duplicate shipments to Wisconsin. This decision, of course, involved publications subsequent to the 1954 edition of *Bibliotheca Hispana*. Wisconsin was asked to mark all books that should presumably have been delivered under the Farmington Plan pattern,<sup>3</sup> and then to check this against Wisconsin holdings. This experience revealed some discrepancy, as might be expected, between the Illinois and the Wisconsin decisions as to what would appear to be appropriate for Farmington Plan delivery. But relative to the total area of choice this discrepancy was not great; Wisconsin would have expected about 15 per cent more books than Illinois

Of some interest in the light of this Wisconsin experience with the 1954 bibliography is a later Wisconsin analysis that was made after the decision to receive duplicate Farmington Plan shipments. A July 2, 1958, letter from Wisconsin's Assistant Librarian Franklyn F. Bright, addressed to Helen M. Welch, acquisition librarian at Illinois, included the following report:

We searched all titles listed in the literature section of *Bibliotheca Hispana* for the first three quarters of 1958. Of the titles listed there we find that 84 out of 178 were not received by our library. Cards were made for these 84 titles and submitted to our Spanish Department. They have divided these into two groups, 45 titles which they want us to order and 39 which they feel are not needed for our collection.

The result of this survey seemed to show that just slightly better than half of the titles we might expect to receive under the Farmington Plan actually arrived and that in order to insure satisfactory coverage it is necessary to be alert for the items which are missed.<sup>4</sup>

This 1958 survey seems to suggest also that Wisconsin's experience under the Farmington Plan, although not perfect by any means, was considerably superior to the earlier Wisconsin experience, since the 1954 checking revealed only about one-sixth of the desirable books on hand.

#### Conclusions Drawn from Study E

In the 1954 checking, Illinois received by Farmington Plan only 63 per cent of the desirable titles. In its 1958 analysis, Wisconsin received "... just slightly better than half of the titles we might expect to receive..." (actually 53 per cent). Since Wisconsin's selection was perhaps a bit more comprehensive than that of Illinois, there is a fair degree of consistency here. Obviously, Farmington Plan delivery is below an optimum level.

But the Farmington Plan processes from Spain apparently little if any undesirable literature and delivers a fair amount (17 per cent) of desirable books in unique copies.<sup>5</sup> Furthermore, other American

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3. The Wisconsin decision had been to eliminate "translations, reprints, detective stories, cowboy stories, light fiction for women, and science fiction."

4. Bright, Franklyn. Letter dated July 2, 1958.

5. This conclusion can be questioned: the surveyors did not have time for the awkward task of comparing Farmington Plan invoices in detail with the bibliography in order to discover what books the Farmington Plan delivered over and beyond those checked in the Illinois study.

libraries are not receiving the desirable books that failed to come to Illinois. Finally, it appears that by means of Farmington Plan procedure the two interested libraries may be doing a better procurement job than would otherwise be possible. For to the apparent improvement at Wisconsin under Farmington (1954 vs. 1958) can be added the opinion volunteered by the Chairman of the Spanish Department at Illinois, and seconded by the Head of the Library's Acquisition Department, that the Farmington Plan is producing an important number of books that might otherwise be overlooked or that might be missed because bibliographical information appears too late for successful buying.

Thus it would appear that we need better coverage of Spanish literature. Two major libraries are not satisfied with the present level of coverage. Yet without the Farmington Plan our stocks in this country might even be shockingly lower for a subject of such common academic attention as Spanish literature. A "blanket order" procedure such as that which the Farmington Plan affords has great merit in this case, but if we want it to do a better job we must monitor the procedures more closely and more frequently.

#### General Conclusions Drawn from Studies A-F

From these several essentially quantitative analyses of the Farmington Plan procurement in western Europe from 1948-1958, one can conclude that the experience of the Farmington Plan has been valuable. It has apparently strengthened our national stockpile of desirable books more than many of us had realized. It has demonstrated the value of "blanket orders" under certain circumstances. At the same time it is clear that our total effort has been short of success, and that an intensified and refined effort is required. A greater degree of discrimination—from country to country, from subject to subject, and from time to time—is in order. The procurement effort must be monitored more steadily and with greater intelligence and selectivity in order to secure more of the important books that we now miss and in order to forego some of the dross we have been receiving. A more flexible and varied procurement effort is in order, for although the "blanket order" approach is apparently effective under certain circumstances, this procedure requires closer attention than it has received under the existing operational pattern. And furthermore, the "blanket order" approach is not always the most efficient and effective procurement approach. All of these statements suggest the need for a less monolithic operation, the need for an operation that requires the application of more individual intelligence and effort. This general conclusion has been further emphasized by discussions with many librarians.

Another conclusion at this point is that we should give more thoughtful attention to the need for greater duplication of important foreign books as well as continued attention to the possibility of avoiding the need for undue duplication of less important books.

But the overweening conclusion is the continued, in fact the heightened, need for a nationally planned procurement program for foreign books, and further, that such a coordinated procurement program cannot overlook any part of the world, not even western Europe.

### CHAPTER III. THE PROBLEM OUTSIDE WESTERN EUROPE

While the world-wide concept of the Farmington Plan had been restricted by its historical development and operational pattern in western Europe and by semantic misunderstanding, the importance and vitality of the concept itself and the need it expressed had not been missed by other groups outside the Association of Research Libraries. Scholarly groups were approaching the library procurement situation with vigor and with an interest not previously displayed. While the organized research libraries remained somewhat hesitant, a number of steps had been taken by other interested groups.

A Joint Committee on Slavic Studies of the American Council of Learned Societies and of the Social Science Research Council had established a Procurement Subcommittee, and it took some maneuvering to have the function of this Subcommittee transferred to the ARL Committee on Slavic and East European Studies, which was sponsoring a rigorous review of library resources and needs.

A Committee on the Near and Middle East of the Social Science Research Council had developed a program and prepared a report which sought foundation support for a national procurement and bibliographical center.

The annual series of homeless and impecunious seminars on the Acquisition of Latin American Library Materials had presented several memoranda calling for an effective Farmington Plan operation south of Mexico; about this proposal the Association of Research Libraries was occasionally informed. More recently it seemed likely that a Joint Committee on Latin American Studies might emerge under the auspices of the American Council of Learned Societies and the Social Science Research Council, with its own firm interest in library procurement problems.

A National Committee on American Library Resources on Southern Asia, affiliated with the Association for Asian Studies, promoted a thoughtful and well-documented conference in Washington in 1957; and a subcommittee thereof immediately began drafting procurement recommendations. Another committee of the Association for Asian Studies, this one on American Library Resources on the Far East, was authorized by the Association's Board of Directors at a meeting in March 1958.

While these rapid-fire developments were arising in the world of academic societies, the Association of Research Libraries had recently authorized two new area committees of its own, in addition to the earlier Slavic Committee—new ones for South Asia and for the Middle East, with no direct relationship to the Farmington Plan Committee and its efforts. Most recently the Federal Government had enacted Public Law 480 with concern for, among other things, the acquisition by use of so-called "counter-part funds" of foreign books, periodicals, and other materials for deposit in libraries and research centers in the United States.

All of this activity on the part of academic groups and government was the clear result of an enlarged American vision of the world and of a sense of greater concern in universities, government, and the foundations for so-called area studies. These area study programs were rapidly focusing the research and teaching efforts of a variety of academic disciplines on parts of the world that had not traditionally received intensive or widespread attention from American scholarship. It seemed clear to the Farmington Plan survey team that the time had come for research libraries to tackle this problem, assay the need, and seek a rational, coordinated procurement effort. Failure to do so might weaken the academic effort and involve individual libraries in commitments that could not be handled effectively on a unilateral basis. Thus a series of area working papers was commissioned by the Farmington Plan survey team, looking toward a report on the total procurement problem and suggestions for a practical, coordinated effort. Each of these papers was thorough and wide-ranging. Only the briefest of resums is possible here.

## Africa

In 1953 Northwestern University, which had one of the early interdisciplinary African programs, accepted the Farmington Plan area assignment for all of the continent south of the Sahara and north of the Union of South Africa. An ineffectual attempt had already been made to deal with the Union on the basis that was applicable in western Europe.

The Northwestern procurement effort had been forceful and well-financed. Several of the research staff, including an experienced librarian, had made extensive tours in search of publications and of procurement agents. This experience, however, only emphasized the enormity and difficulty of the task. Government publications, periodicals, newspapers, political propaganda, and vernacular literature—all essential to an understanding of the African ferment—were appearing in a myriad of countries, new and old, and in a variety of languages. In all the area of interest to Northwestern University, only one country, Nigeria, had anything approaching a national bibliography. Even this was incomplete because the official deposit station could not handle all of the vernaculars. The government printers had no uniform policies or procedures, and although some were very efficient, many could hardly cope with their tasks. Retail booksellers who were capable of serving an American library persistently and dependably were almost non-existent. On-the-spot collecting through recurrent visits by experts seemed the only solution, and obviously no one library could deal effectively with this entire area. Increasingly, however, other universities were establishing programs of African studies and were thus eager to lend assistance.

## Latin America

Since 1949 the Farmington effort had operated in Latin America. A regular subject assignment had been operative in Mexico, with fair success, and the University of Florida had worked intensively on an area basis in the Caribbean since 1952. Beyond this, however, no effective arrangements existed. Attempts were made in Bolivia, Ecuador, and Peru, but they proved abortive.

One of the main reasons that Latin America was originally given a relatively low priority in Farmington Plan thinking was that when early targets were picked, it was felt that United States libraries were getting better than average coverage. A study made in 1945 of research acquisitions from eight countries, using 1937 publications as a common base, had indicated a relatively good procurement effort. However, since 1937 a publishing revolution had occurred in Latin America, partly because Spain had declined as a major publisher and particularly because the entire Latin American scene had changed remarkably.

Any attempt now to measure closely the adequacy of current intake is unlikely because of the incompleteness of bibliographical records and statistics. However, there is a general subjective impression among informed librarians that many important items are missed. With few exceptions, university research investigators complain about the situation.

The existence since 1956 of the annual seminars on Latin American Acquisitions is evidence of a high level of need among both librarians and scholars. The 1958 Seminar specifically expressed the group's concern regarding the inadequate coverage of Latin America as a whole and the hope that the Association of Research Libraries would develop a definite policy.

Most of the evidence seems to indicate that under an intensified procurement program the assignment of responsibilities by countries rather than by subjects would work more efficiently. Available data on recent and current research suggest that for most purposes the area rather than the topic frame is the dominant one. Latin American authors are not as specialized as European ones, and the pattern of specialization in the chain of effort from the writing of a book through its printing, publishing, and distribution, so familiar in Europe and the United States, does not prevail in Latin America. Thus a variety of approaches must be taken to procurement.

Quite recently the Seminar on Latin American Acquisitions had been instrumental in dispatching a procurement expert to Latin America on a cooperative basis. The experience of this mission only served to emphasize the following points: (1) there is an intensified interest among United States universities in Latin American publications, (2) the state of the bibliography and the book trade poses serious selection and procurement problems, (3) a coordinated effort is essential if the needs of United

States scholars are to be served, and (4) a system of area assignments, coupled with field expeditions, is required.

### Eastern Europe

With one exception—the University of California's area assignment since 1953 for Yugoslavia—no organized procurement effort for eastern Europe has been instituted. The entire area poses certain uniform problems. All east European countries have a similar system of controls over the production and distribution of publications, modeled on the Soviet example. In each country there is only one "dealer," actually a nationalized government-controlled distribution agency which naturally follows the policies and directives of the regime. Since the profit motive is definitely secondary (except perhaps in terms of alleviating the chronic dollar shortage), political considerations are preponderant, and the policies of the agency are not guided by the desire to increase the sales volume but by restrictions imposed upon the flow of information by the Soviet government. Thus, an East European Farmington Plan would not be effective if the selection of material were entrusted to Mezhdunarodnaia Kniga, except for the items listed in this agency's official catalog, Novye Knigi.

This situation implies the probable need for leaving selection in the hands of American libraries. About a dozen research libraries currently maintain respectable and sizeable acquisitions programs of East European materials, the majority being university libraries. Well-planned and systematic selection policies are, unfortunately, rare. In theory, book selection is the responsibility of the librarian; in practice, however, it is often delegated to the faculty. This procedure very seldom results in effective, well-balanced development of collections.

A nationwide cooperative acquisitions program, such as the Farmington Plan, might provide a minimum of continuity in collecting policies, prevent some unnecessary duplication, and reduce the number of areas of inadequate coverage.

Various approaches are possible, but all present difficulties. A central agency in this country, such as the United States Book Exchange, might write an exchange arrangement with each East European national library to receive and then distribute to appropriate libraries one copy of every item listed in specific sections of Knizhnaia Letopis in exchange for one copy of items listed in Publishers' Weekly. Alternatively, selected United States libraries could make similar bilateral arrangements with the several East European national libraries for selected subject fields, thus maintaining direct relationships. Or again, dealers outside eastern Europe could be commissioned as purchasing agents, but they too face certain procurement limitations under the Soviet system of controlled distribution. One interesting, but complicated, procedure might be for American libraries to send their own procurement officer to eastern Europe on a cooperative basis. Possibly the simplest and most flexible procedure would be to leave the selection and procurement procedures to a selected group of American libraries experienced in dealing in the East European field. Such a pattern would lack only the advantages of an automatic receipt of publications, an advantage particularly important to smaller libraries.

A further complication is posed by the variety of languages involved. This complex of languages and other factors suggest that in some cases country or language assignments would be more practical than subject assignments. One problem in this regard is that among the several East European countries there is a very large amount of publication consisting merely of translations from one language to another, a fact which is not easy to ascertain from available bibliographical sources. Not the least of the problems involved is the relatively large annual book production, close to 70,000 titles, of which perhaps 30,000 each year would be of value to research in the United States.

### Far East

The Committee on American Library Resources on the Far East, of the Association for Asian Studies, has drafted a specific allocation pattern based on a survey of resources conducted in 1958. The initial allocation was adjusted according to the book budgets of the libraries concerned, in relation to the estimated expense. The total number of titles published every year in the Far East is as much as 60 per cent of the output of western Europe, including the United Kingdom. Only eight United States libraries are in a position to participate generously, and the estimate is that procurement can be

maintained only at the rate of 25 per cent of current publishing output. It is proposed in most cases that each library establish or continue its own selection and procurement pattern, except that in the case of Tokyo and Hong Kong a commercial agent be commissioned to acquire Japanese and Chinese publications with English texts to be distributed on the basis of the existing Farmington Plan subject formula.

Special attention needs to be given, beyond the level of trade books, to national and local government documents, and to research publications not issued for commercial sale. Both categories, however, are difficult to acquire. A major problem in regard to Far Eastern publications is the acute shortage of staff capable of dealing with the task. Of the two and one-half million volumes already in the United States libraries, approximately 25 per cent are still uncataloged for lack of adequate staff.

#### South and Southeast Asia

The National Committee on American Library Resources on Southern Asia has proposed a definite pattern for a coordinated procurement program. In connection with the countries of southeast Asia, an endeavor was made to give country assignments to a particular library. The country assigned was one for which the parent university already had a strong regional studies program in action. Since the amount of publication in the southeast Asian countries is not large, it is hoped that the United States libraries selected will handle both vernacular and western language publications and cover all subjects, except perhaps the sciences, technology, agriculture, and medicine, all of which could be handled on a blanket basis by the major Federal libraries.

The proposed pattern for South Asia is similar to that for smaller countries, such as Pakistan, Ceylon, and Nepal. However, the volume of Indian publications both in the vernacular and in English is so great, and the problem of handling the many vernaculars is so pressing, as to require distribution of responsibility to several institutions first by language, and second by subject for English language publications. No one institution could handle the whole job for India.

#### Middle East

The Committee on Middle Eastern Materials of the Social Science Research Council has developed a specific proposal for a coordinated effort in the Middle East. This proposal is based on a series of assumptions in which agreement has been found to be wide enough to justify an urgent effort. The following are the assumptions of the committee:

1. American scholars do not have available the necessary basic indigenous source materials for the study of the Near and the Middle East, an area for which there is growing concern in the United States.
2. Existing arrangements for the procurement of such materials are not capable of producing coverage of all types of indigenous materials necessary for scholarly research.
3. In addition to the actual procurement of these materials, it is necessary to provide an up-to-date and accurate list of publications in order that arrangements may be made by libraries to acquire them as needed while they remain in print.
4. Acquired materials worthy of permanent preservation must be fully and quickly cataloged in American libraries to make them available for the use of present and future scholars.
5. Bibliographical controls, required to provide the kind of information needed to satisfy points 3 and 4 above, are primarily the responsibility of the country in which the materials are published. Although there are encouraging signs of progress in some areas, no country in the Near and Middle East is now meeting this responsibility with complete adequacy. Any action taken as a result of the recommendations herein should be regarded as leading toward the assumption of greater responsibilities by the countries in which the materials are produced.

The mechanism suggested by this special committee is the development of a Bibliographic Center for Near and Middle East materials. This center would carry on the functions of acquisition through field trips and by arrangements with local institutions, listing of receipts, cataloging, and the encouragement of the acceptance of local responsibility whenever feasible. To avoid the costly building of library facilities to satisfy the bibliographical reference needs of such a staff, this Center should be associated with an existing library. It is suggested that this Center be established with the Library of Congress acting as host. The procurement and cataloging effort should involve not just trade



monographs but also government publications, ephemeral political releases, serials, and newspapers which might best be preserved on microfilm. The special committee hopes to secure foundation funds to establish this bibliographic center as the most effective procedure for solving the complicated problem of procurement from the Middle East.

### Public Law 480

The so-called Dingell Bill, which constitutes sub-paragraph 104(n) of Public Law 480, was enacted in 1958. This legislation permits the use of counterpart funds for the following purposes:

For financing under the direction of the Librarian of Congress, in consultation with the National Science Foundation and other interested agencies, in such amounts as may be specified from time to time in appropriations acts, (1) programs outside the United States for the analysis and evaluation of foreign books, periodicals, and other materials to determine whether they would provide information of technical or scientific significance in the United States and whether such books, periodicals, and other materials are of cultural or educational significance; (2) the registry, indexing, binding, reproduction, cataloging, abstracting, translating, and dissemination of books, periodicals, and related materials determined to have such significance; and (3) the acquisition of such books, periodicals, and other materials and the deposit thereof in libraries and research centers in the United States specializing in the areas to which they relate. . . .

At the time of the Farmington Plan survey, the Library of Congress was just in the process of planning how to approach this opportunity. No actual program was possible until the Congress appropriated foreign currency, and, therefore, the Library of Congress submitted a supplementary request for operations in the fiscal period 1959 and budget estimates for fiscal 1960. The funds would, in any event, be available only in certain countries, and at that point of the survey there were many unanswered questions, not the least of which was the problem of deciding which libraries and research centers in the United States should be recipients of library materials under the program. The Library of Congress proposed to consult with various interested groups prior to making more specific announcements.

As of January 1962 Public Law 480 (The Agricultural Trade Development and Assistance Act of 1954) became operative in India, Pakistan, and the United Arab Republic. With the funds voted by Congress for fiscal 1964, Israel, Burma, and Indonesia were added, and recent proposals would include Poland and Yugoslavia. Thus for major countries of South Asia and the Middle East the Farmington intention is now being pursued on a new basis, with primary support from federal funds. Blanket distribution of all kinds of current publications from these countries is made to a specific group of U. S. research libraries, each of which makes a token payment of \$500 per year toward the dollar support of the program. The Farmington Plan Committee works closely with the Public Law 480 Office in the Library of Congress. Book selection is administered by LC staff stationed in the countries of origin. This concept of basic federal support for the development of research library collections is momentous and heartening. Related to this new procurement project is a cooperative cataloging program which is in itself a significant venture. The development of PL 480 activity can be followed in the occasionally issued Library of Congress P.L. 480 Newsletter.

### Conclusions Drawn from the Area Papers

These several area working papers lead to a number of conclusions. They suggest a critical need for extending our joint effort to other parts of the world and for breaking the inertia that has limited our effort mainly to western Europe. Without abandoning the effort in western Europe, but rather modifying it, we must quickly establish a pattern, so flexible and vigorous that its pace and procedure can be altered rapidly and easily. In proceeding vigorously into other parts of the world, we must also maintain a flexible and experimental point of view, one that will assure forceful collecting efforts without attempting to impose preconceived procurement patterns. We must be bold enough to try the use of roving agents on a contractual or cooperative basis, in places where such basis may for a time offer fruitful results. We must press foundations and government for aid in financing where common effort is short of a desirable national goal.

The area papers also suggest the need for a more forceful, far-reaching, and tight committee structure. Research libraries require a central committee which is continuously responsible for planning, reviewing, recommending, and operating a foreign procurement effort that is world-wide in scope. The several area programs should function through a central committee, and this committee should have formal relationships with interested scholarly groups. Final decisions and the overall review should come through a central committee so that the Association of Research Libraries and other interested agencies may be fully aware of the economic and operational inter-relationships. Once we accept the fact that we have overlooked the original broad implications of the Farmington Plan, and once we agree that it is not inherently tied to a single procurement procedure, we can then agree that the Farmington Plan offers a medium for a world-wide effort. Furthermore, it can be agreed that the Farmington Plan Committee, modified in structure, could be the central committee for the total procurement program.

The extent and complications of such a program, if it is to be carried through effectively on a world-wide basis, will continue to require a secretariat and staff support beyond the level of the normal ARL study committee. The Farmington Plan Committee itself will need to be enlarged. Central records, persistent correspondence, the frequent inter-change of information, and a recurrent audit of the program are all essential. The committee chairman cannot expect to charge this much to his own institution. All of this argues for continuance of a Farmington Plan Office, financed to provide adequate secretarial help and occasional research assistants. The importance of sending emissaries abroad must not be overlooked. We have not kept closely in touch with many of the Farmington Plan agents except by correspondence; more frequent visitations would be helpful in solving problems of service and interpretation. The special importance of occasional procurement trips to the more complicated parts of the world is stressed in several of the area working papers. It will be argued that these costs should be carried by the participating libraries. It could be urged, however, that by virtue of the program itself we are asking all participating libraries to make significant additional efforts in order to serve national scholarly needs that go beyond local institutional demands. The Association of Research Libraries, with the support of interested scholarly groups, should take vigorous steps to secure continuing outside financing.

The several area papers undertook to make tentative estimates of the amount of intake and the cost thereof to American libraries. It would appear that the total number of East European titles of research value is at the most 30,000 a year (excluding translations, pamphlets of less than six pages, political tracts, and some fiction). The total is distributed as follows:

Albania	100
Bulgaria	1,000
Czechoslovakia	2,800
Hungary	1,800
Poland	2,900
Rumania	1,200
USSR	18,000
Yugoslavia	2,200
Total	30,000

Since a considerable number of unpriced publications (ca. 10,000) have been included in these figures, the total cost of purchasing the 30,000 items might run to at least \$40,000 or \$50,000. All of the figures exclude serials.

The working paper for the Far East suggested that purchase at an approximate rate of 25 per cent of the total number of titles published would mean the acquisition of approximately 2,400 titles a year for China, at a cost of \$1,200, and 2,600 titles for Japan, at a cost of \$2,000. These costs cover trade books and do not include government documents or serials. There would in addition be about 100 volumes per year in English.

For South Asia it was estimated that the cost for Indian publications might be \$50,000 per year, including government publications and serials. Of this amount about \$40,000 would be for books. For the rest of the countries of South Asia, it was estimated that about \$10,000 would be needed to cover about 40 per cent of the annual output.

From the Middle East it was estimated that there might be 2,000 titles in Arabic per year, 1,000 in Turkish, 1,000 in English or French, and upwards of 1,000 or more in the other languages.

The Latin American estimate was a total of 2,135 current books at an approximate maximum annual cost of \$4,580, including both Mexico and the Caribbean area. These estimates exclude serials and documents.

Useful figures for Africa were even more difficult to prepare, but the Library of Congress reported purchase of 6,662 current African publications from south of the Sahara for \$1,690 during the fiscal period 1958; some 14,000 other items were received on exchange.

To this financial information should be added, for comparative purposes, that during 1957 the Plan brought in from western Europe 19,663 volumes at a cost of \$51,690.

## CHAPTER IV. LATER DEVELOPMENTS

### Subsequent Special Reports

After the conclusion of the main Farmington Plan survey, three special investigations were undertaken to fill in information gaps. Because of time limitations, the original surveyors were unable to give detailed attention to the possible need for adding current foreign periodicals and current foreign government documents to the regular Farmington Plan intake. Discussions of the survey itself suggested that the procurement program of the Central Intelligence Agency should be analyzed in order to learn more about its procedures and in order to ascertain the extent to which that procurement program might be duplicating the Farmington efforts.

The following three resumé's are quoted from a report by Robert B. Downs which appeared in the March 1962 issue of College and Research Libraries:

The first study to be finished (Jerrold Orne, Report on the CIA Library Acquisitions Program, 1959) was a survey of the relationship of the Farmington Plan to the Central Intelligence Agency's procurement program. The investigation was made for the committee by Jerrold Orne, Library of the University of North Carolina. On the basis of Dr. Orne's findings, it was the consensus that, though the CIA and FP overlap to a certain extent, the scope and purposes of the two agencies are entirely different and both should be continued.

A second investigation was undertaken by Dale Barker, associate director, Georgia Institute of Technology Library, to determine the degree of completeness with which U. S. libraries are covering current foreign periodicals in the social sciences. The assumption was made that the periodical literature of the world in chemistry, physics, biology, and other major sciences is adequately represented in American libraries, but that holdings are much less complete in the humanities and social sciences. Based upon checking the UNESCO World List of Social Science Periodicals, Mr. Barker found that more than 95 per cent of the titles in this field are now known to be available in the United States. (Dale L. Barker, Foreign Social Science Periodicals Received in American Libraries, [Urbana, Ill., Farmington Plan Committee of Association of Research Libraries, 1960].) It was concluded, therefore, that periodical publications should continue to be excluded from Farmington Plan operations, other than for the limited program for new periodicals already functioning.

A third study came to different conclusions. This was concerned with the holdings of American research libraries in the area of foreign government publications. The survey was done for the committee by Donald Wisdom, assistant head of government publications section, serial division, Library of Congress, with Paul Berry, chief of the serial division, serving as adviser. Optimistically, it was hoped that the findings would be such as to make it unnecessary for the Farmington Plan to become involved with government publications, a huge and exceedingly complex field. The survey report, however, concluded that "Current holdings of foreign government publications in American research libraries are inadequate, and there is a universal dependence on the Library of Congress for the comprehensive collecting of foreign government publications." (Donald F. Wisdom, Foreign Government Publications in American Research Libraries; a survey prepared for the Farmington Plan Committee of the Association of Research Libraries, 1961.)<sup>1</sup>

An important question of policy was raised by the Wisdom study. Should the research libraries of the country continue to rely primarily upon the Library of Congress or should

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1. Downs, Robert B. "Report on Farmington Plan Program," College and Research Libraries, 23: 143-145, March 1962.

an effort be made to bring into the United States at least two copies of all foreign government publications? The latter would mean development of a national plan of collecting, dividing responsibility among research libraries, as is now being done for Farmington Plan materials.

Even the Library of Congress holdings in certain areas have serious lacunae. Some of the libraries which have accepted national assignments under the Farmington Plan are going beyond monographic publications to collect periodicals, newspapers, and government publications. This points toward a possible solution, since the largest gaps in holdings of foreign government publications are for the countries assigned on a national, rather than on a subject basis. The cooperating libraries, accordingly, have been asked to adopt as standard procedure the collecting of government publications for the areas assigned to them.<sup>2</sup>

### Final Recommendations

On January 26, 1959, the Association of Research Libraries called a special conference in Chicago for a discussion of the report of the survey of the FP by Robert Vosper and Robert Talmadge. Recommendations of this conference, which were unanimously approved by the Association, are reproduced below. With only minor modifications, they represent the final recommendations of the survey team:

1. Leadership in the development, direction, and coordination of major scholarly acquisitions programs of national scope and importance should be accepted as a major and continuing ARL responsibility.

2. The coordinated effort to assure adequate coverage of currently published foreign library materials of scholarly importance should be extended and strengthened, on a world-wide basis.

3. The Farmington Plan Committee should be chartered and supported as the responsible, central committee for ARL in this whole field. Toward this end, the Committee should be adequately staffed, and should be authorized to proceed as may be necessary through sub-committees and co-opted members. It should be responsible for continuous liaison with all appropriate scholarly, educational, and governmental bodies, as well as with appropriate joint committees. The Committee's activities should encompass continuous study and assessment of needs, operation of programs, and review and analysis of programs in action.

4. ARL should continue to seek, or itself provide, funds for secretarial and research assistance for the Committee and its Office. If possible the Committee Chairman and the Office should continue to be located together.

5. Certain operating patterns of the Farmington Plan, as they have developed particularly in Western Europe, should be modified along lines mentioned in the Survey Report: looking toward a more flexible and decentralized selection and procurement pattern, while still assuring that adequate records are maintained for purposes of study and review. In accomplishing this, a sub-committee on procurement from Western Europe may be in order.

6. The strengthened Farmington Plan Committee should give high priority to fostering and experimenting with flexible, coordinated procurement efforts in other parts of the world, along lines recommended in the area working papers; in pursuing this task the Committee will need to develop effective relationships, as noted in (3) above, with the appropriate working committees in the several areas, in order to be certain of receiving adequate specialized service.

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2. Ibid., pp. 143-144.

7. Prior to the development of a systematic procurement program for better coverage of foreign periodicals, the Farmington Plan Committee should institute some sample studies, along lines proposed in Working Paper III, to ascertain the adequacy of our holdings, especially in the humanities and social sciences, as well as in engineering. In the meantime, steps should be taken to tighten up procedures for securing, selecting, and recording sample issues of new periodicals.

8. Attention should be given to the need for more extensive duplication among American libraries of the important, currently published foreign books. Multiple use of assigned Farmington Plan agents, in important fields, offers one ready-made procedure toward this end.

9. ARL should continue to bring forcefully to the attention of appropriate governmental agencies, educational bodies, and foundations that the national pool of research books and journals is of high national importance, that an effectively coordinated national program for world-wide coverage is an expensive but urgent undertaking, and that adequate assistance through direct, long-term financing and through staff aid is in the national interest.<sup>3</sup>

In order to begin setting the new program into action, there was a subsequent ARL meeting on March 18 and 19, 1959, at Princeton University for the Farmington Plan Committee members, the Advisory Committee members, the chairmen of existing ARL area procurement committees, and several other librarians with special subject interests. Following that meeting, the Advisory Committee on March 19 made some policy and organization decisions, the most important of which are indicated below:<sup>4</sup>

1. There is to be a reconstituted Farmington Plan Committee which is to have general responsibility for the development and implementation of the Farmington Plan. (It was agreed that Farmington Plan does not refer to a method of procurement but to a comprehensive plan of acquisition on a world-wide basis.)

2. The Committee is to consist of a chairman, two members-at-large, and several ARL chairmen or representatives on specialized area committees which will have responsibility for the program in particular areas (both those existing and the others which might be created), and the ARL Executive Secretary ex officio.

3. All committee chairmen are to serve on an annual basis from one mid-winter-meeting through the next.

4. Each area committee will have the responsibility for the development of plans for the selection, acquisition and distribution of material in its respective area. These plans shall be reviewed and approved by the Farmington Plan Committee before they are put into effect. Each of the committees shall have the responsibility to supervise the operation of its area plan, to review and evaluate its effectiveness, to recommend changes, and to submit written reports to the Farmington Plan Committee at least once a year. (It is believed that in several areas a joint committee of the ARL with the leading scholarly body in the field offers the best method of developing the program.)

5. The Farmington Plan Committee shall submit in advance requests for any funds needed for its operations or those of the area committees to the ARL Advisory Committee. The Advisory Committee shall approve all proposals to foundations.

6. The following area resources subcommittees were established: Slavic, Middle Eastern, Far Eastern, African, Latin American, South Asian, Western European.

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3. Association of Research Libraries. Minutes of the Fifty-second Meeting of The Association of Research Libraries together with The Conference on The Farmington Plan, University of Chicago, January 26, 1959. Pp. 6, 12, 13, 18, 19, 20, 21, 22. (Duplicated.)

4. Vosper, Robert. "International Book Procurement; or, Farmington Extended," College and Research Libraries, 21:117-124, March 1960.

## A New Epoch

Two years later on March 24, 1961, the Farmington Plan Committee met at Columbia University with the Advisory Committee of ARL to review progress. From this session came a decision that in order to make the Farmington effort effective it was clearly necessary to have a paid staff as well as funds for a regular informational newsletter and other essential services. It was therefore recommended that the Association of Research Libraries incorporate so that it might seek outside funds on a larger scale and establish an office and staff. The assumption was that this office would have a variety of business, but that a major obligation would be the operation of the Farmington Plan.

In January 1963—following the incorporation of the Association, expansion of its membership, and receipt of an organizational foundation grant—an ARL Secretariat was established in Washington, D.C., and the Farmington Plan Office moved from its original home in Harvard. Most recently, ARL has begun urgent discussion of a national shared or centralized cataloging program to concentrate on Farmington receipts.

Thus with the entrance of the federal government into the foreign procurement effort via Public Law 480, with the establishment of an ARL Secretariat that can provide persistent attention to Farmington matters, with the tightening of the Farmington Committee Structure and a focused effort to expand into areas beyond western Europe, and now with the early hope of a systematic attack on the complex problem of cataloging Farmington books on a systematic and non-duplicative basis, a new epoch, the stage for which was set by the Farmington Plan survey, has begun both for the Farmington Plan and for its sponsor the Association of Research Libraries.

## APPENDIX

Lawrence, Kansas  
December 6, 1957

### FARMINGTON PLAN STUDY QUESTIONNAIRE I\*

For many of the questions below, multiple-choice answers are included which may simply be checked if they provide adequate descriptions of your experience or opinions. More than one answer may be checked for any question if appropriate. These are provided only with the intention of saving your time if possible, certainly not to guide your replies. No answer will be taken as committing your library in any way to increased (or reduced) participation in the Plan. Your uninhibited comments, suggestions, and criticisms regarding the Plan are earnestly solicited, as are those of interested members of your faculty. Lengthier comments should be typed on separate sheets, attached to the questionnaire. If you could use extra copies of the questionnaire so individuals may reply, we can supply them.

I. Name of Library: \_\_\_\_\_

II. Address: \_\_\_\_\_

III. Librarian: \_\_\_\_\_

Special Note: We will assume this to be a formal institutional response unless otherwise indicated here:

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#### IV. The Farmington Plan as presently formulated and operated is, in our opinion:

- 3 a. Excellent; subject to improvement only in minor details; should be continued as presently set up.
- 27 b. Generally satisfactory; occasional problems are insignificant in comparison with benefits to American scholarship generally and to this library.
- 25 c. Acceptable; sometimes troublesome, but prevailing policies and procedures are probably the best, by and large, that can be formulated to carry out the broad objectives of the Plan in view of the problems involved.
- 5 d. Generally unsatisfactory; serious faults in basic approach or in procedures; seriously troublesome; problems largely outweigh benefits to American scholarship generally or to this library.
- 0 e. Entirely unsatisfactory and unacceptable; ill-conceived; this library's continuance of participation largely dependent upon complete overhaul of Plan's basic approach or procedures.
- 18 f. Other comments (if space inadequate here, attach extra sheets):

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\*With replies tabulated and analyzed. The arabic numerals to the left of the lettered subsection of each question indicate the number of responses to that subsection. In brackets are analytical comments on the responses to the question immediately preceding.



[Eleven libraries protested that the extent of their participation and experience was so limited that their opinions should carry no great weight. Beyond the checked answers, five libraries in letters or comments elsewhere in questionnaires indicated generally pessimistic attitudes about the Plan in general; four similarly went out of their way to express enthusiasm for it. Six libraries reported the Plan most successful in areas with adequate bibliographical tools, but with these tools libraries themselves can do job as well as Plan does, or better. Two libraries emphasized the problem of uncertainties about receipts of monographic series.]

#### V. Scope of Materials Covered:

In coverage of materials, the Plan:

24 a. Is adequate; by and large, neither too much nor too little is acquired.

23 b. Misses much material published abroad "that might reasonably be expected to interest a research worker in the United States." In the subject areas allocated to this library, we estimate that roughly \_\_\_\_\_ per cent of appropriate materials published abroad are not received through the Plan.

[Eleven libraries gave estimates from 5 to 90 per cent; the majority placed the figure between 10 and 25 per cent. Some remarked that there is no way to tell percentage accurately.]

27 c. Sweeps up too much worthless or low grade material. In the subject areas allocated to us, we estimate that \_\_\_\_\_ per cent of the titles received are not worth preserving for possible use by a research worker.

[Eighteen libraries gave estimates from 3 to 75 per cent; the majority estimated around 10 to 25 per cent.]

10 d. Plan should be expanded to cover government documents.

13 e. Plan should be expanded to cover periodicals.

11 f. Plan should include the following other materials now excluded:

[Theses: 4; private press books, annuals, and monographic series, each 2; textbooks, reprints, translations, maps, ephemera, "some new editions," each 1.]

13 g. Plan should exclude the following materials now included:

[Travel, and tourist pocket dictionaries, 5; periodicals or serials, ephemera, textbooks, picture books, popularizations, each 2; translations, programs, juveniles, repair manuals, each 1.]

20 h. Other comments:

[A wide variety of problems and opinions was contributed, some reflecting variation in a library's experience according to subject or country. Three libraries expressed particular concern about coverage of periodicals, and desire for it, but outside of Plan. Numerous comments reflected a desire for refinement, and enforcement, of standards of scholarly quality and "research value" in receipts.]

Special Note on Question 5: If in the answers to 5 above, there is a clear discrepancy between the opinion of the Librarian and the opinion of interested and informed members of his faculty, please explain here (use extra sheets if necessary):

[Comments came from only two libraries. No clear discrepancy existed between opinions of librarians and those of their faculty members. Reported faculty opinions on Plan vary from favorable to doubtful; their worries dwelt on subject allocations to libraries, slowness of delivery, feelings of insecurity as to whether or not a dealer would send a given title.]

#### VI. Geographical Scope.

16 a. Proper coverage of foreign countries now prevails; no changes recommended.

- 2 b. Geographical coverage is too wide, and should be limited to major publishing countries only. Specifically, we would recommend that the following countries be dropped:

[Certain classes of publications from Italy, one library; another library recommended dropping all Spanish language publications, and all Portuguese language and literature except those originating in Portugal and Brazil.]

- 38 c. Geographical coverage should be extended to include:

<u>7</u>	Great Britain
<u>0</u>	United States
<u>6</u>	English-Speaking Canada
<u>26</u>	Japan
<u>29</u>	Russia
<u>24</u>	Other Iron-Curtain Countries
<u>17</u>	Others (specify):

[Others: Latin America, especially Brazil (9); Asia (7); India (3); China (2); Middle East (3); Africa (2); extension of coverage to all countries (2); Spain (2); and New Zealand (1).]

- 11 d. We can offer the following specific advice toward the improvement of procurement from Latin America or the Near East:

[Near East: one suggestion was of critical area allocation to libraries which have contacts in the area. Latin America: several suggestions favored American encouragement of more national or multi-national bibliographies in the region. A number of suggestions dealt with changes of agents in South America (three recommending the same dealer for Brazil). One suggestion was that travelling representatives be employed. One library favored possible use of national libraries as agents.]

## VII. Method of Coverage.

Regarding the present plan of having major countries covered by assigning a specific subject area for all countries to a single library, and covering minor countries by assignment of responsibility for all publications of a given country to a single library:

- 19 a. We favor subject assignments as being most successful.  
0 b. We favor country assignments.  
40 c. Present use of combination of both systems appears to be the best solution.  
12 d. Other comments:

[The adequacy of coverage under country assignments was questioned by several libraries, including some holding such assignments. One library suggested: "Subject assignments should bring the materials to this country to advance our substantive knowledge, whereas materials brought in under country allocations as now should be brought in for the purpose of area studies to advance our knowledge of these peoples."]

## VIII. Dealers.

- 30 a. Commercial dealers seem to us more effective than national libraries as Farmington Plan agents.  
0 b. We find national libraries better agents than are commercial dealers.  
22 c. Present arrangements are generally satisfactory.  
16 d. Currently, we are having undue difficulties with dealers (or national libraries) in the following countries:

[France (15); Italy (3); Latin America and Australia (2 each); and 1 each for Austria, Bolivia, Cyprus, Ecuador, Germany, Israel, Libya, Mexico, Norway, Peru, South Africa, Spain, and Sweden. Principal complaints regarding France: too slow, too few receipts, inability to place "do not duplicate" orders, lack of sample periodical issues, and special billing requirements. Italy: too much popular material sent. The quality of selection in France and Australia was defended by one library.]

- 12 e. Agents in the following countries are so unsatisfactory that we recommend shifting to new agents if possible:

[France (8); Mexico (3); Australia, Norway, Peru, South Africa (2 each); and 1 each for Latin America, Austria, Belgium, Bolivia, Denmark, Ecuador, Italy, Portugal, and Spain.]

- 9 f. We would prefer to make our own arrangements to procure all materials in the subject fields assigned to us, by systematic checking of bibliographies and placing of orders, instead of by operating through designated agents and receiving titles automatically as at present. (Note: Please explain your experience and procedure in this regard):

[Of nine libraries noted, four indicated a clear preference; the remainder expressed highly qualified willingness to consider the idea. Four other libraries indicated clear opposition to it.]

- 12 g. We suggest the following as alternative agents:

<u>1</u>	U. S. Information Agency libraries.
<u>2</u>	University libraries.
<u>2</u>	Publications Procurement Officers of U. S. State Department.
<u>9</u>	Other:

[Three libraries voted "no" on the first two suggestions, and four voted "no" on the third. Two suggested using these as advisors, but not as agents. One library suggested the use of Cultural Relations Officers of other countries, and another the sending by the Farmington Plan of its own agents abroad.]

#### IX. Library Advisors.

In our view, the use of library advisors to assist agents in several countries in classification and other problems is:

- 13 a. An important addition to the efficiency of the Plan.  
18 b. Of little if any use.  
21 c. Worth expanding by use of national or other librarians.

[Several libraries indicated lack of knowledge or of basis for judging. One suggested querying dealers about effectiveness of arrangement. Another suggested that advisors translate LC classification into "existing classification systems used in national trade bibliographies," assuming reallocation of subjects to libraries in larger blocks.]

#### X. Classification.

- 32 a. We are content with the present plan of assigning portions of the Library of Congress classification to various libraries, and with the subject areas assigned to us.  
13 b. In our opinion, the classification is now broken up into too many minute portions. We would favor reworking of allocations to provide broader subject blocks to fewer libraries (Note: If so, how do you think the cost should be shared, if at all?)

[The consensus was that cost should be borne by libraries receiving books. Suggestions were made that ARL should pay for work on allocation revision, that ARL underwrite acquisitions that participating libraries do not care to buy, that MILC might offer a partial solution for the Midwest, and that a federally supported plan should determine where the subject strength is and then support the costs of supplementing it.]

- 1 c. We would prefer to see the classification divided into still smaller subject areas than exist now.  
12 d. The following subject areas, now assigned to us, we would be willing to relinquish to another library:

[Data reported to Farmington Plan Committee.]

- 15 e. We would welcome the addition of the following subject areas to those now assigned to this library:

[Data reported to Farmington Plan Committee.]

#### XI. Cataloging.

The present requirement that all titles received under the Plan be reported to the National Union Catalog within one month by means of a preliminary catalog card is, in our view:

- 32 a. An essential feature of the Plan.  
31 b. No problem for us to handle.  
7 c. A problem owing to language competence required.  
12 d. Troublesome, in the following other ways:

[Eleven libraries reported difficulties in meeting time limit because of shortages of personnel or weight of other more urgently needed materials. About half of them said specifically that lapses affect marginal receipts (cataloging of which may in one or two cases be deferred indefinitely), but all works of any importance are processed.]

#### XII. Cost of Receipts:

The acquisition cost of the Plan to us over the ten years has been (as far as the amount is concerned):

- 49 a. No problem.

[One library reported no problem regarding subject assignments, but said it would have one with its area assignment without present Foundation support.]

- 8 b. Difficult to justify locally, but fair in view of the national service.  
1 c. A serious problem.

We think the cost:

- 37 a. Is fairly apportioned now since these in general are books we would want to buy anyway.  
2 b. Is unfairly apportioned in that the Plan basically is to serve the national interest and the books purchased thereby are available to non-participants who do not share in the cost. In view of this opinion, we suggest as an alternate method of bearing the cost, the following ideas:

[Eight libraries checking "a" crossed out or took exception to the words following "now."  
Two other libraries suggested foundation grant or L.C. subsidy to help cover costs.]

#### XIII. Farmington Plan Office.

Operation of the Office, maintained to handle both general and detailed problems of the Plan, has cost a total of about \$15,000 (Carnegie grant) over the first ten years. Assuming that costs may continue at about the same level in the future, we would favor the following method of financing them: (Rank in order of preference)

- 189 a. A renewed Foundation grant, if possible.  
32 b. A flat rate assessment of participating libraries.  
107 c. Assessment of participating libraries, total costs of the Office to be pro-rated on the basis of costs of their respective receipts under the Plan.  
66 d. Payment by Association of Research libraries.  
e. Other (specify):

[Fifty-five libraries answered the question. Figures for (a-d) were derived by scoring a first preference as 4, second preference as 3, etc. Where two choices were simply checked (rather than ranked) each item checked was scored 4. Harvard noted that cost of Office may be very considerably reduced if commercial dealer replaces Bibliothèque Nationale as agent in France. Four libraries suggested that L.C. should take over; one suggested National Science Foundation. Another suggested making operation of Office an assignment within ARL "and alternate among major libraries periodically. Cost of operation to be absorbed by 'managing library' for that period."]

#### XIV. Possible Alternatives to Present Procedures.

- a. In place of direct shipments now made to participating libraries, we would favor the sending of all titles to a central agency in the United States for classification and re-shipment to participants.
- (We realize that this system, used during the first year of the Plan, resulted in delays in receipt of materials and increased operating costs.)
- |           |     |
|-----------|-----|
| <u>5</u>  | Yes |
| <u>38</u> | No  |
- b. We would favor shipment of all titles to the Library of Congress for classification and cataloging prior to distribution to participants, if this could be arranged.
- |           |     |
|-----------|-----|
| <u>14</u> | Yes |
| <u>32</u> | No  |
- [Five of the libraries answering "yes" qualified their answers with "if" (if prompt, if without increase in Farmington costs to libraries, if done for obscure languages). Library of Congress commented: "It is estimated that the cost of maintaining a Farmington Plan Office to receive, classify, catalog, and distribute all Farmington Plan materials would cost \$200,000 a year." (Estimate based on an average of 15,000 annual receipts.)]
- c. We would favor having all Farmington Plan receipts deposited in a few regional libraries.
- |           |     |
|-----------|-----|
| <u>5</u>  | Yes |
| <u>36</u> | No  |
- d. We would favor having all Farmington Plan receipts retained in the Library of Congress.
- |           |     |
|-----------|-----|
| <u>6</u>  | Yes |
| <u>40</u> | No  |
- [Two of the libraries answering "yes" did so on condition that L.C. would absorb costs.]
- 12 e. If answer is Yes to any part of 14 above, we suggest that the consequent cost be handled, or shared, in the following manner:
- [Suggestions varied according to alternatives favored. Five libraries favored absorption of costs by L.C. Five proposed payment of flat charge by participating libraries to L.C. for each volume cataloged.]
- f. If careful study reveals that books received under the Plan tend to be duplicated through normal procurement channels of the Library of Congress or other libraries, this situation in our opinion:
- |           |   |
|-----------|---|
| <u>8</u>  | Results in large measure from slowness of Farmington Plan receipts. |
| <u>15</u> | Would suggest that the Plan be discontinued.                        |
- Six libraries so checking conditioned their answers on basis of extensive duplication only.
- |           |   |
|-----------|---|
| <u>23</u> | Would be worthwhile duplication and the Plan should still be continued. |
| <u>2</u>  | We would suggest the following other ideas:                             |
- One library suggested an effort to speed up delivery of Farmington Plan materials, another, the sending of slips instead of books, to avoid both duplication of materials already ordered and of materials of marginal value.
- 0 g. We suggest the following other possibilities:

#### XV. Use of Materials.

In our experience, the following comments appear to be true of the use of materials we have received through subject assignments (not country assignments) under the Plan:

- 2 a. No use at all.
- 24 b. Slight use in our library.
- 19 c. Slight use through interlibrary loan to others.
- 28 d. Moderate use in our library.
- 9 e. Moderate use through interlibrary loan.
- 3 f. Relatively heavy use in our library.
- 3 g. Relatively heavy use through interlibrary loan.

[Seven libraries mentioned lack of data, thus subjective replies. Six reported variation in use according to subject field.]

#### XVI. Government of the Plan.

At present, general direction and supervision of the Plan is in the hands of the Association of Research Libraries. In our view this is:

- 53 a. Satisfactory.
- 2 b. Inadequate, in that it does not represent all Farmington Plan participants.
- 3 c. The following alternative plan of government would be superior:

[Suggestions: cooperative handling of Farmington Plan by ACRL and ARL; separate organization representing all participating libraries in order to get ARL out of an activity of an operational nature; direction and supervision by L.C. as governmental agency, hence representative and impartial.]

This library is a member of ARL:

- 42 Yes
- 17 No

#### XVII. Special Note.

The surveyors will undertake selective studies to discover how adequately the Plan is carrying out its prime purpose of making sure that "at least one copy of each new foreign book or pamphlet that might reasonably be expected to interest a research worker in the United States" is acquired by an American library. This will be done by employing research assistants to compare receipts from selected countries and in selected subject areas, against national or other bibliographies. If during the past ten years your library has carried out any studies of this type, or of any other aspects of the Farmington Plan, we shall greatly appreciate your enclosing a copy of the resulting report when you return this questionnaire. If you can spare a copy only temporarily, please so indicate; we shall Thermofax it and return the original to you promptly.

If you have among your staff or faculty anyone especially interested in and capable of conducting a specialized analysis or evaluation, on a subject or a national basis, we shall appreciate your advice. We solicit also your suggestions on research procedure. We are especially interested in developing procedures, with capable staff, that might evaluate the Farmington Plan receipts in terms of scholar utility.

With renewed thanks.

R. V.  
R. L. T.

## VITA

Robert Vosper is University Librarian and Professor of Library Service at the University of California at Los Angeles.

He received his B.A. and M.A. degrees in Classics from the University of Oregon, and in 1940 completed work in librarianship in the graduate professional training program at the University of California in Berkeley. After serving as a staff member successively in Berkeley, at Stanford University, and at UCLA, he came head of UCLA's Acquisitions Department and was associate librarian in 1952 when the University of Kansas invited him to become its director of libraries. While at the University of Kansas Library, he achieved a national reputation for the aggressive development of its research collections.

In 1961, Mr. Vosper returned to UCLA as university librarian. That same year the UCLA Library began a ten-year development program, involving not only a major building construction effort, but also the doubling of its research collections from 1,500,000 to 3,000,000 volumes.

For a number of years, Mr. Vosper has been interested in the enrichment of American library resources in support of research, and during 1957/58, he directed a national analysis of the American supply of foreign books and journals. This study led to an intensified global procurement program known as the Farmington Plan.

Mr. Vosper, recognizing the importance of American relationships with libraries abroad, gives a seminar in Comparative Librarianship at UCLA's School of Library Service. As a Guggenheim fellow he went to Great Britain in 1959 to study the growth of book collections in British university libraries, and in the spring of 1960, as a Fulbright lecturer in Italy he organized seminars for Italian university librarians. The Commission on Higher Education in The American Republics sent him to Central America in 1961 to study university libraries. In light of his experiences in this field, Mr. Vosper was asked by the University of Illinois Graduate School of Library Science to edit the April 1964 issue of its quarterly journal, Library Trends. This particular issue was devoted to the developments in European university libraries.

In addition to taking part in the projects of the International Federation of Library Associations, Mr. Vosper is active in professional associations in California and Kansas, as well as on the national scene. In 1963, he was chairman of the Association of Research Libraries, an institutional organization of the nation's seventy-four most influential research libraries. During 1965/66, he is serving as president of The American Library Association.

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